

Linkage Program - ARC Centres of Excellence commencing 2020

Opening date:	Available on <u>GrantConnect</u>
Closing date and time:	Available on <u>GrantConnect</u>
Commonwealth policy entity:	Australian Research Council (ARC)
Enquiries:	Researchers are required to direct requests for information to the Research Office within the Administering Organisation. ARC Contacts are on the ARC website .
Type of grant opportunity:	Restricted competitive

Australian Research Council Act 2001

I, Simon Birmingham, Minister for Education and Training, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Grant Guidelines under section 60 of that Act.

Dated 20 May 2018

Simon Birmingham
Minister for Education and Training

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The Linkage Program is designed to achieve Australian Government objectives.

This grant opportunity is part of the above grant program that contributes to the Australian Research Council's (ARC) Outcome 1. The ARC manages the grant program according to the *Australian Research Council Act 2001* and the *Commonwealth Grants Rules and Guidelines 2017*.



The grant opportunity opens.

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



You (the Administering Organisation) complete and submit an Expression of Interest application (EOI application).

You may submit a 'Request not to Assess' form two weeks before the closing date for EOI applications.



We assess all EOI applications.

We assess the EOI applications against eligibility and assessment criteria and compare Your EOI application to other EOI applications.

Your EOI application will be assigned to Detailed Assessors to undertake in-depth assessments.

You will have the opportunity to respond to Detailed Assessors' written comments through a rejoinder.

A Selection Advisory Committee (SAC) appointed by the ARC will assess Your EOI application and consider the assessments from the Detailed Assessors and Your rejoinder.

The SAC will collectively consider all EOI applications and recommend a shortlist of EOI applications to be invited to submit a full application.

The recommended shortlist will be considered by the ARC Chief Executive Officer (CEO).



We notify You of the shortlist result.

We inform You if Your EOI application has been shortlisted or not. All Administering Organisations will be provided with key information on the shortlisted applications.

If Your EOI application has been shortlisted, We invite You to submit a full application.



If invited, You complete and submit a full grant application (full application).



We assess all full applications.

We assess full applications against eligibility and assessment criteria and considerations of value for money compared to other applications.

Your full 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.

Full applications are also assessed by a SAC. The SAC will assess Your full application and consider the assessments from the Detailed Assessors and Your rejoinder.

The SAC will collectively consider all full applications and may recommend a shortlist of full applications to be invited to participate in an interview. You will be advised if Your application is not shortlisted for interview. If invited, You will be advised of an interview place, date and time.

The SAC will collectively undertake interviews with You and other people associated with the full application.



We make grant recommendations.

When all interviews are completed, the SAC will collectively consider all full applications interviewed using the assessments, rejoinders and performance in the interviews.
The SAC will recommend to the ARC CEO the full applications to be funded, and the level and duration of funding of each Centre.
The CEO will then recommend to the Minister the full applications to be funded, and the level and duration of funding of each Centre.



Grant decisions are made.

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



We notify You of the outcome.

We advise You of the outcome of Your application through the ARC Research Management System (RMS).



We enter into a Grant Agreement with You.

We enter into a Grant Agreement with You through the ARC RMS.



Delivery of grant.

You undertake the grant activity as set out in Your Grant Agreement.
We manage the grant by working with You, monitoring Your progress and making payments.



Evaluation of the grant opportunity.

We evaluate the specific grant activity and ARC Centres of Excellence grant opportunity as a whole. We base this on information You provide to us and that We collect from various sources.

1. Linkage Program: ARC Centres of Excellence

About the Linkage Program

- 1.1 These grant guidelines establish the rules which govern the administration of the Linkage Program ARC Centres of Excellence grant opportunity including the application, eligibility, and selection processes to be followed and the assessment criteria that will be used to select grant recipients.
- 1.2 The Linkage Program is one of two Programs under the ARC National Competitive Grants Program (NCGP).
- 1.3 The Linkage Program includes the following grant opportunities:
 - ARC Centres of Excellence;
 - Industrial Transformation Research Hubs;
 - Industrial Transformation Training Centres;
 - Linkage Infrastructure, Equipment and Facilities;
 - Linkage Projects;
 - Linkage Learned Academies Special Projects;
 - Special Research Initiatives; and
 - Supporting Responses to Commonwealth Science Council Priorities.

Linkage Program Purpose

- 1.4 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:
 - collaborative research between university-based researchers and researchers in other sectors;
 - research training and career opportunities that enable Australian and international researchers and research students to work with industry and other end-users; and
 - research in priority areas.
- 1.5 The purpose of the Linkage Program is to promote national and international partnerships between researchers and business, industry, community organisations, government and other publicly funded research agencies.

Intended outcome

- 1.6 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 intended outcomes of the Linkage Program include commercial products, licences and revenue; new companies; job creation; and new programs and policy.

Scope and timeframes

- 1.7 Linkage Program grants are awarded on the basis of excellence through competitive peer review processes conducted for each grant opportunity.
- 1.8 Linkage Program grant opportunities may be conducted annually, on a continuous basis, at regular intervals, or as required.

Key performance indicators

- 1.9 We identify Key Performance Indicators (KPIs) for the Linkage Program annually in the ARC Portfolio Budget Statements and the ARC Corporate Plan and report against them annually in the ARC Annual Report.
- 1.10 The KPIs address the objectives of the Linkage Program and focus on long-term outcomes as well as medium-term outcomes relating to building Australia's research capacity, for example, research careers, infrastructure and training, contributions in areas of national need and research collaboration.

Other relevant information

- 1.11 We administer the Linkage Program according to the *Australian Research Council Act 2001* (ARC Act) and the [Commonwealth Grants Rules and Guidelines 2017 \(CGRGs\)](#)¹.
- 1.12 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.

About the ARC Centres of Excellence grant opportunity objectives and outcomes

- 1.13 These grant guidelines contain information for the ARC Centres of Excellence grant opportunity. As with all grant opportunities offered under the Linkage Program, ARC Centres of Excellence grants are aimed at supporting the development of partnerships across all sectors. ARC Centres of Excellence are the largest scale research programs supported through the ARC NCGP.
- 1.14 These grant guidelines set out:
 - the objectives of the ARC Centres of Excellence grant opportunity;
 - the grant support available;
 - the eligibility and assessment criteria;
 - how grant applications are considered and selected;
 - how grantees will be monitored and evaluated; and
 - responsibilities and expectations in relation to the grant opportunity.
- 1.15 You and the participants must read this document before filling out an application for the ARC Centres of Excellence grant opportunity.

¹ www.finance.gov.au/resource-management/grants/

- 1.16 These grants are applied for through an application process consisting of:
- an Expression of Interest (EOI) application; and
 - a full application.
- 1.17 The two part application process is supported by a three part assessment process comprising of an assessment of EOI applications, assessment of full applications and, if selected, an interview process for full applications.
- 1.18 In these grant guidelines, an EOI application or full application refers to the completed documentation submitted to Us requesting a grant. The application includes both administrative information and the specifics of the proposed grant activity. If a full application is successful, the grant activity is then referred to as a 'Centre'. See the glossary for more information on definitions.

Objectives and outcomes

- 1.19 The ARC Centres of Excellence grant opportunity facilitates significant collaboration which allows the complementary resources of universities, publicly funded research organisations, other research bodies, governments and businesses to be concentrated to support outstanding research in all fields (except Medical Research).
- 1.20 The ARC Centres of Excellence are prestigious focal points of expertise through which high-quality researchers collaboratively maintain and develop Australia's international standing in research areas of national priority.
- 1.21 The objectives of the ARC Centres of Excellence grant opportunity are to:
- undertake highly innovative and potentially transformational research that aims to achieve international standing in the fields of research envisaged and leads to a significant advancement of capabilities and knowledge;
 - link existing Australian research strengths and build critical mass with new capacity for interdisciplinary, collaborative approaches to address the most challenging and significant research problems;
 - develop relationships and build new networks with major national and international centres and research programs to help strengthen research, achieve global competitiveness and gain recognition for Australian research;
 - build Australia's human capacity in a range of research areas by attracting and retaining, from within Australia and abroad, researchers of high international standing as well as the most promising research students;
 - provide high-quality postgraduate and postdoctoral training environments for the next generation of researchers;
 - offer Australian researchers opportunities to work on large-scale problems over longer periods of time; and
 - establish Centres that have an impact on the wider community through interaction with, and beneficial outcomes for, higher education institutions, governments, industry and the private and non-profit sectors.
- 1.22 The intended outcomes of the ARC Centres of Excellence grant opportunity are consistent with those of the Linkage Program.

2. Grant amount and grant period

- 2.1 For the ARC Centres of Excellence grant opportunity:
- the minimum grant amount is \$1 million per annum (calendar year);
 - the maximum grant amount is \$5 million per annum (calendar year); and
 - funding may be sought for up to seven years.
- 2.2 The grant amount for a successful ARC Centre of Excellence is determined on the basis of a recommended budget agreed by the SAC.
- 2.3 We reserve the right to recommend funding levels which may be less than that requested in the application, and a project duration that may differ from that requested in the application.
- 2.4 Each organisation listed in the application is required to make a commitment of significant resources to the proposed ARC Centre of Excellence. Resources can take the form of cash contributions and/or in-kind contributions and/or contributions of other material resources.
- 2.5 The level of contributions from organisations must take into consideration the total cost of the proposed Centre and the relative contribution of each participant at the organisation. We do not specify the type or level of contribution.

3. Grant eligibility criteria

- 3.1 We cannot recommend Your application to the Minister for funding if it does not satisfy all the eligibility criteria.
- 3.2 This section of the grant guidelines provides details of the eligibility requirements including for:
- eligible applications; and
 - eligible participants being:
 - Eligible Organisations, including Administering Organisations;
 - Partner Organisations; and
 - named participants (including limits).

What are the eligibility requirements for applications?

- 3.3 We will only accept EOI applications and full applications from the Eligible Organisations listed below.
- 3.4 The Eligible Organisation that submits the application will be the 'Administering Organisation' and is referred to as 'You'. All other Eligible Organisations listed on the application will be an 'Other Eligible Organisation'.
- 3.5 Your EOI and full applications must each include at least one Other Eligible Organisation.
- 3.6 Your EOI and full applications must each include one or more Partner Organisations.
- 3.7 Your EOI and full applications must include the following named participants:
- Centre Director, who is an eligible Chief Investigator (CI) from the Administering Organisation and is the first individual nominated as a CI on Your application; and
 - at least one other CI.

- 3.8 Your EOI application must have been shortlisted by the ARC for You to be eligible to submit a full application in the second stage of the application process.

Contributions

- 3.9 You and each Other Eligible Organisation and Partner Organisation on a full application must demonstrate a significant contribution of cash and/or in-kind or other material resources to the application having regard to the total cost of the proposed Centre and the relative contribution of any CIs or Partner Investigators (PIs) at the organisation.
- 3.10 We reserve the right to determine the value of Partner Organisation contributions and may determine contributions to be at levels different from those in Your full application.
- 3.11 In-kind contributions must be essential to the research program of the proposed Centre. It is Your responsibility to establish the merit of the case for the in-kind contributions.

Who is an Eligible Organisation?

- 3.12 The Eligible Organisations are listed below.
- Australian Capital Territory
 - Australian Institute for Aboriginal and Torres Strait Islander Studies (AIATSIS)
 - The Australian National University
 - University of Canberra
 - New South Wales
 - Australian Catholic University
 - Charles Sturt University
 - Macquarie University
 - Southern Cross University
 - The University of New England
 - The University of New South Wales
 - The University of Newcastle
 - The University of Sydney
 - University of Technology Sydney
 - University of Wollongong
 - Western Sydney University
 - Northern Territory
 - Batchelor Institute of Indigenous Tertiary Education
 - Charles Darwin University
 - Queensland
 - Bond University
 - Central Queensland University
 - Griffith University

- James Cook University
- Queensland University of Technology
- The University of Queensland
- University of Southern Queensland
- University of Sunshine Coast
- South Australia
 - Flinders University
 - The University of Adelaide
 - Torrens University Australia
 - University of South Australia
- Tasmania
 - University of Tasmania
- Victoria
 - Deakin University
 - Federation University Australia
 - La Trobe University
 - Monash University
 - Royal Melbourne Institute of Technology
 - Swinburne University of Technology
 - The University of Melbourne
 - University of Divinity
 - Victoria University
- Western Australia
 - Curtin University
 - Edith Cowan University
 - Murdoch University
 - The University of Notre Dame Australia
 - The University of Western Australia.

3.13 Eligible Organisations may be involved in more than one EOI application or full application but must consider their capacity to contribute in the event that all full applications are successful.

Who is eligible to be a Partner Organisation on a grant?

3.14 To be eligible as a Partner Organisation, an organisation cannot be:

- an Eligible Organisation;
- a controlled entity of any Eligible Organisation; or

- an entity (for example, a joint venture) where more than 50 per cent is owned by one or more Eligible Organisation(s).
- 3.15 In the full application, each Partner Organisation must include a statement in their letter of support outlining their current, or intended, collaboration with either You and/or with an Other Eligible Organisation on the proposed Centre arising from this application.
- 3.16 A Partner Organisation may nominate one or more Partner Investigator(s) (PIs). A Partner Organisation may choose not to nominate any PIs where it is not appropriate given the role of the Partner Organisation in the proposed Centre.

Who is eligible to be a named participant on a grant?

- 3.17 Named participants are those individuals who are identified for particular roles in the proposed Centre.
- 3.18 Named participants in the ARC Centres of Excellence grant opportunity are required for the roles of
- Centre Director;
 - Chief Investigators (CIs); and
 - Partner Investigators (PIs).
- 3.19 To be eligible to apply individuals nominated as the Centre Director, CIs and PIs in an EOI application or full application must:
- satisfy the eligibility criteria for the role they are to perform as at the Grant Commencement Date;
 - have met all obligations for previously funded ARC projects, including submitting satisfactory progress and final reports; and
 - reside predominantly in Australia whilst a CI for the proposed Centre.

Limits

- 3.20 We acknowledge that individuals nominated in either an EOI application or full application may be named on other ARC grant opportunity applications. All grant applications submitted through other ARC grant opportunities and all ARC grants held may be retained until the outcome of the ARC Centres of Excellence application is known.
- 3.21 You should determine if applying for, or holding, a grant under these guidelines will affect an individual participant's eligibility for the other ARC grant opportunities as other ARC grant opportunities may have different project limits. Relevant grant opportunity eligibility limits are provided in the relevant published Grant Guidelines. We reserve the right to change project and application limits in future grant opportunities.
- 3.22 The Centre Director and CIs on a successful ARC Centres of Excellence grant application will be required to relinquish ARC-funded grants which would result in the researcher exceeding limits on the number of grants able to be held as stated in the relevant grant guidelines. The ARC reserves the right to determine which grants are to be relinquished.
- 3.23 Participants on successful Centre projects funded in this round must relinquish any ARC funding that would result in duplication as at 1 January 2020.

- 3.24 The Centre Director and CIs named on a successful full application may retain current ARC grants for active projects provided that:
- the full application clearly demonstrates and explains, to Our satisfaction, the overlap between the existing non-Centre grant activities and the proposed Centre research activities; and
 - funding for the existing non-Centre grant activities is not requested in the budget for the proposed Centre.

Centre Director

- 3.25 A person nominated as a Centre Director is considered to be a CI for the purpose of eligibility.
- 3.26 An individual may only be nominated for this role on one EOI application or full application. A person named as Centre Director may be nominated as a CI on no more than one additional EOI application or full application for an ARC Centres of Excellence grant opportunity. The CI role must be relinquished should both full applications be successful.
- 3.27 The Centre Director must:
- Meet at least one of the following criteria at the Grant Commencement Date, and for the Project Activity Period of the proposed Centre:
 - be an employee for at least 20 per cent of Full Time Equivalent (0.2 FTE) at an Eligible Organisation; or
 - be a holder of an Emeritus Appointment (as defined in the Glossary) at an Eligible Organisation
 - commit a minimum of 70 per cent (0.7 FTE) of their time to the activities of the proposed Centre. If a Centre Director is unable to meet this undertaking We may at Our absolute discretion decide not to recommend the application for funding; and
 - be employed by the Administering Organisation at the Grant Commencement Date.

Chief Investigator

- 3.28 Chief Investigators must:
- meet at least one of the following criteria as at the Grant Commencement Date, and for the Project Activity Period of the proposed Centre:
 - be an employee for at least 20 per cent of Full Time Equivalent (0.2 FTE) at an Eligible Organisation; or
 - be a holder of an Emeritus Appointment (as defined in the Glossary) at an eligible organisation; and
 - commit a minimum of 20 per cent (0.2 FTE) of their time to the activities of the proposed Centre.
- 3.29 Chief Investigators must not be undertaking undergraduate studies or a higher degree by research.

- 3.30 A person named as a CI may be nominated on a maximum of two EOI applications or full applications, unless an individual is nominated as a Centre Director in which case paragraph 3.26 applies.

Partner Investigator (PI)

- 3.31 Partner Investigators must not meet the eligibility criteria for a CI at the Grant Commencement Date or at any time during the Project Activity Period.
- 3.32 PIs named in an application must be an employee of a Partner Organisation.

4. What the grant money can be used for

Eligible Grant Activities

What activities the grant money can be used for

- 4.1 Research activities that meet the definition of Research as per the glossary in these grant guidelines will be supported.

What activities are not supported

- 4.2 Unless the following activities meet the definition of research as per the glossary in these grant guidelines, the following activities will not be paid for with grant funding:
- compilation of data, computer programs, research aids and tools;
 - descriptive data compilations, catalogues or bibliographies;
 - teaching materials; or
 - 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 Centre's activities and demonstrably research-based.
- 4.3 The ARC Centres of Excellence grant opportunity does not support applications that involve Medical Research as detailed in the ARC Medical Research Policy.
- 4.4 The ARC Centres of Excellence grant opportunity does not support applications that involve Antarctic research (see Glossary for definition).

Eligible expenditure

- 4.5 Grant money may be sought for budget items that directly support the research program contained in an application.
- 4.6 Eligible expenditure items are:
- salaries and up to 30 per cent on-costs for Centre personnel who perform research or activities that support the research, including Research Associates, Research Assistants, a Centre Manager or Chief Operations Officer, technicians and laboratory assistants but excluding the Centre Director, CIs and PIs. Salary support must be requested at an appropriate level for the position within the Administering or Other Eligible Organisation(s);
 - stipends for postgraduate students, in whole or in part, at an appropriate level for the relevant Eligible Organisation(s);
 - access to workshop services necessary for the Centre research program;

- equipment, maintenance and consumables essential for the Centre research program. Funding will not be provided for equipment or consumables that are considered to be for broad general use;
- publication and dissemination of Centre outputs and outreach activity, including the development and maintenance of the Centre's website;
- general domestic and international travel costs (economy) for Centre personnel where this is related to the research program or to support Field Research essential to the research program (including research, technical and logistical support, local travel and accommodation costs); and
- domestic and international travel costs (economy) for visitors to the Centre where this is related to the Centre research program or Centre governance.

4.7 All items for which grant money is sought must be justified in the full application to Our satisfaction.

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

What the grant money cannot be used for

4.9 You cannot use the grant to fund:

- basic facilities as outlined below;
- any capital works and general infrastructure costs;
- costs not directly related to the Centre, including but not limited to professional membership fees/professional development courses which are not offered by the Centre, fees for patent application and maintenance, equipment for live music or drama performances, equipment for gallery and museum exhibitions, visas, relocation costs, entertainment costs, insurance, mobile phones (purchase or call charges) and other indirect costs;
- fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students;
- salaries and/or on costs, in whole or in part, for the Centre Director, CIs or PIs;
- research support for PIs, apart from short-term project support for investigators visiting from overseas and domestic and international travel associated with the Centre;
- teaching relief;
- cost of investigations that are more appropriately undertaken by way of a consultancy;
- direct development of products and other commercialisation activities; or
- indirect costs, including basic facilities and equipment, organisational overheads; and/or infrastructure costs.

4.10 The following basic facilities must be provided and funded by You, Other Eligible Organisations or Partner Organisations where required, including:

- access to a basic library collection;
- access to film or music editing facilities;

- accommodation (for example, laboratory and office space, suitably equipped and furnished);
- bench fees or similar laboratory access fees;
- provision of basic computing facilities such as desk top computers, portable computer devices, printers, word processing, and other standard software;
- use of photocopiers, telephones, mail, fax, email and internet services; and
- standard reference material or funds for abstracting services.

4.11 The ARC may, in its absolute discretion, determine whether any projects costs involve items not permitted as identified above. If such a determination is made, then the ARC may, in its absolute discretion, decide to not recommend part or all of the application for funding.

5. The assessment criteria

5.1 You will need to address all relevant assessment criteria in Your application. We will judge each application based on the weighting given to each criterion for the relevant application stage.

5.2 The EOI application requires You to address selection criteria A and B. These criteria will be weighted as:

- Criterion A. Research program - Quality and Innovation 70%
- Criterion B. Investigators 30%

5.3 The full application requires You to address all the selection criteria and their weightings are:

- Criterion A. Research program - Quality and Innovation 20%
- Criterion B. Investigators 20%
- Criterion C. Institutional Support 20%
- Criterion D. Governance, leadership and mentoring 20%
- Criterion E. Outcomes and linkages 20%

5.4 Both the EOI application and full application forms ask 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 EOI application and full application forms include character or page limits.

Assessment Criteria:

A. Research program - Quality and Innovation

Describe the extent to which the proposed research program:

- addresses the objectives of the ARC Centres of Excellence grant opportunity
- will be innovative and potentially transformational, and lead to significant advancement of knowledge, expertise and technologies
- will build effective collaboration and critical mass across groups of researchers

- is assembled into an effective and integrated research program (including the proposed conceptual framework, design, human resource commitments, methods and analyses, project structures, budget planning and risk mitigation strategies)
- will build effective and high quality national and international partnerships, exchanges and networks.

B. Investigators

Describe:

- the contribution of the Centre Director, Chief Investigators and Partner Investigators to the proposed research program and their demonstration of appropriate capability, capacity and commitment to the proposed Centre
- the extent to which the investigators are suitable and relevant to the conduct and delivery of the proposed research program, giving consideration to Research Opportunity and Performance Evidence (ROPE).

C. Institutional Support

Describe:

- the extent to which the proposed Centre is aligned with the research focus and strategic direction of the Administering Organisation
- how the combined level of support and commitment from the Administering Organisation, Other Eligible Organisations and Partner Organisations will be sufficient for the proposed Centre.

D. Governance, leadership and mentoring

Describe:

- the appropriateness of the organisational structure of the proposed Centre, including:
 - a. proposed management arrangements and responsibilities (including management of dispersed and diverse teams and reporting arrangements both internally and externally)
 - b. financial systems, strategic and translation plans, milestones for achievement of objectives and delivery of outputs, outcomes and benefits, and draft Key Performance Indicators
- the relevance of the performance measures listed in the application to the proposed Centre's objectives, project outputs, outcomes and benefits, and their appropriateness for assessing the proposed Centre's performance
- the leadership ability and vision of the Centre Director and leadership team including their capacity to perform the responsibilities of the role including strategic planning and management
- the contribution of the proposed Centre to research training and mentoring at the Honours, postgraduate and postdoctoral level
- the contribution of the proposed Centre's education and engagement programs to professional development, ethical and technical training and outreach.

E. Outcomes and linkages

Describe the extent to which:

- the research program has articulated the path to Research Impact of the proposed research program in terms of delivering benefit to Australia
- the links with Australian researchers in universities, other research organisations, industry and strategic agencies will facilitate collaboration in, and application of the outcomes of, the proposed research program
- partners and end-users will be involved in the translation of outcomes arising from the proposed research program
- there are plans and strategies in place for translation of research outcomes including: knowledge transfer, knowledge application, and if applicable, technology transfer, including fostering a culture of innovation, focus on outcomes and proposed Centre legacy
- there are supporting organisational arrangements and plans in place relating to ownership and potential exploitation of intellectual property and/or utilisation or commercialisation of research (where appropriate)
- the proposed research program will expand Australia's knowledge base and research capability and enhance Australia's international reputation and competitiveness
- the proposed research program will make a significant contribution to one or more of the Science and Research Priorities
- the proposed research program will deliver effective outcomes commensurate with the request for appropriate resources (value for money)
- the proposed Centre will involve partners and end-users in development of strategic and translation plans and proposed Centre governance
- the proposed Centre will develop and enhance high-level international linkages to benefit the research, training and translation of program outcomes.

6. How to Apply

Application process

- 6.1 We publish information on ARC Centres of Excellence grant opportunities every three years. These opportunities have a predetermined opening and closing date for submitting applications.
- 6.2 This ARC Centres of Excellence grant opportunity is administered through an application process comprising:
 - an EOI application; and
 - a full application.
- 6.3 Only shortlisted EOI applications are invited to develop and submit a full application.
- 6.4 Before submitting an EOI application or full application, You must read and understand these grant guidelines, the sample application forms for an EOI application or full application (as relevant), the 'Instructions to Applicants' and the sample Grant Agreement.

These documents may be found at GrantConnect. Any alterations and addenda² will be published on GrantConnect. By registering on the GrantConnect website You will be automatically notified of any changes.

- 6.5 You may only submit an EOI application or full application for funding if the named participants will be eligible for that grant opportunity as per these guidelines on the Grant Commencement Date.
- 6.6 To submit an EOI application and a full application You must:
- complete each section of the relevant application form and make sure You provide the information in the format We have requested;
 - address all of the eligibility and assessment criteria requested to be considered for a grant;
 - ensure the application contains all the information necessary for assessment, including eligibility assessment, without the need for further written or oral explanation, or reference to additional documentation;
 - certify that the application is compliant with all relevant laws and regulations;
 - make sure that Your application is submitted in accordance with these guidelines, Grant Agreement and application form; and
 - only submit one application for the same proposed project in the same grant opportunity regardless of any variation in the proposed research, the named participants and/or administering organisations.
- 6.7 You must:
- submit Your EOI application or full application on the relevant application form available in the Research Management System (RMS) unless We advise You otherwise; and
 - You must certify Your EOI and full application online in RMS. Research Offices must ensure that the person assigned the Research Office Delegate role in RMS is authorised to certify and submit applications.
- 6.8 You are responsible for ensuring that Your EOI application or full application is complete and accurate. Giving false or misleading information will exclude Your application from further consideration and is a serious offence under the *Criminal Code 1995* (Cth). We will investigate any false or misleading information and may exclude Your application from further consideration.
- 6.9 Your EOI or full application must contain all the information necessary for its assessment, including eligibility assessment, without the need for further written or oral explanation, or

² Alterations and addenda include but are not limited to: corrections to currently published documents, changes to close times for applications, Questions and Answers (Q&A) documents and Frequently Asked Questions (FAQ) documents

reference to additional documentation. We reserve the right at any point in the process to request additional information from you, but We are not obliged to do so.

- 6.10 You cannot change Your EOI application or full application (including additions, deletions and modifications) after the closing date and time.
- 6.11 We may approve the withdrawal of an EOI application or full application on receipt of a written request with justification from You.
- 6.12 You may only submit a full application when the proposed project is a mature research plan presenting the proposed Centre as coherent, integrated and ready for implementation.
- 6.13 Substantial changes to the research program, personnel or organisations in a full application arising from a single previous EOI application must be justified.
- 6.14 In the full application You must list all current grants and requested funding for each named participant under any ARC grant opportunity and any other Commonwealth grant program. We will not fund the same research activities, infrastructure or projects previously funded or currently being funded through any other Commonwealth grant. Full details of any financial assistance received for, or in connection with, the research activities or project must be disclosed in the full application and on an ongoing basis.
- 6.15 You must provide a budget in a full application. In this You:
- must not include cash or in-kind contributions in years beyond the Project Activity Period;
 - must establish the merit of the case for recognition of in-kind contributions, which must be essential and central to the proposed Centre; and
 - must not include in the in-kind contribution, basic salary for any Commonwealth Fellowships unless it is salary over and above the Commonwealth supported component.
- 6.16 We reserve the right to invite a single amalgamated full application where the research programs of two or more EOI applications demonstrate significant synergy, overlap or duplication. The Administering Organisations may choose to give effect to Our invitation. Should the invitation be accepted, the Administering Organisations of the EOI applications will be responsible for negotiating with the previously proposed Centre Directors, researchers and organisations in relation to the coordination, preparation and submission of a single amalgamated full application. We will not accept separate individual full applications arising from EOI applications where a single amalgamated full application has been invited.
- 6.17 Where a single amalgamated full application has been invited, the proposed research program, personnel and organisations may vary from those stated in the individual EOI applications. It is expected, however, that the amalgamated full application will incorporate aspects of both the research programs and appropriate personnel and organisations from each initial EOI application.
- 6.18 The application form includes help information and further information is in the 'Instructions to Applicants' document on Our website at www.arc.gov.au/arc-centres-excellence. If You have any technical difficulties, with RMS please contact arc-systems@arc.gov.au.

Timing of grant opportunity

- 6.19 We publish information on grant opportunities on GrantConnect for all Linkage Program grant opportunities and this includes the relevant timing for the submission of applications.
- 6.20 You must submit Your application to Us by the closing date and time which are specified on GrantConnect.
- 6.21 You can only submit an application between the published opening and closing dates. We cannot 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.
- 6.22 The Grant Commencement Date for ARC Centres of Excellence in this grant opportunity is 1 January 2020, unless other arrangements are approved by the Minister.
- 6.23 Funding for a grant will commence on the later date of:
- the Grant Commencement Date for the opportunity;
 - after Ministerial announcement;
 - a date set by the Minister; or
 - in line with other arrangements that are approved by us.

Attachments to the application

- 6.24 You must attach supporting documentation to the relevant application form in line with the instructions provided within 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.
- 6.25 Your full application must include a letter of support from each Other Eligible Organisation(s) and Partner Organisation(s). In providing and signing these letters, the organisations are certifying the support to, and researcher participation in (if relevant), the proposed Centre. These letters of support must:
- include the official letterhead;
 - specify financial commitments (both cash contributions and/or In-kind contributions) specific to the application and not including any general financial commitment to the Administering Organisation;
 - certify that if providing a cash contribution, no part of this is drawn from funds previously appropriated or awarded from Commonwealth or Australian State or Territory sources for the purposes of research, nor from funds previously used to leverage government research or research infrastructure funding;
 - specify the participation of named participant researchers in the application; and
 - be signed by a senior representative (Deputy Vice-Chancellor (Research) or equivalent) of the organisation.

Questions during the application process

- 6.26 Questions during the application period should be directed to Your Research Office. We may post answers to questions on Our website under Frequently Asked Questions.

7. The grant selection process

7.1 All applications will be considered through a competitive assessment process.

Who will assess grant applications?

- 7.2 We manage the assessment of applications. Applications submitted for funding under this grant opportunity will be assessed by Detailed Assessors and a Selection Advisory Committee (SAC).
- 7.3 Detailed Assessors are assigned applications to review for their specific expertise in a field of research. Detailed Assessors are discipline-specific and interdisciplinary experts in their knowledge fields. Detailed Assessors for this grant opportunity are drawn from the ARC Assessor Community and are usually almost entirely from the international research community. ARC Assessor Community assessors may have nominated to assist the ARC or be former recipients of ARC grant funding who are obligated to assess as a condition of their Grant Agreements.
- 7.4 The SAC is a multi-disciplinary group of experts from academia and industry appointed to assist us to evaluate applications and to provide a recommendation for funding to the CEO.
- 7.5 Any assessor who is not an Australian Public Servant will be expected to uphold the Australian Public Service Values and Code of Conduct in accordance with Part 1, section 2.9 of the CGRGs. SAC members are paid for the assessment work undertaken and Detailed Assessors are not.
- 7.6 We have procedures in place for managing organisational and person conflicts of interest for assessors, SAC members and ARC staff. Details of these procedures are in the relevant section of these guidelines and at www.arc.gov.au/arc-conflict-interest-and-confidentiality-policy.

What is the grant assessment process?

- 7.7 Assessment against eligibility criteria is undertaken at both the EOI application and full application processes. We may determine whether an application meets the eligibility requirements at any stage during assessment of the application.
- 7.8 If We consider that an application is ineligible, the application may not be progressed through the assessment process.
- 7.9 If We consider that an EOI application does not meet the relevant eligibility criteria, We cannot recommend it for shortlisting.
- 7.10 If the full application is ineligible, We cannot recommend it for shortlisting.

EOI application assessment

- 7.11 The EOI application is a short application addressing two selection criteria and requiring consideration of a subset of the eligibility criteria.
- 7.12 The EOI applications are assessed against the relevant eligibility and assessment criteria and against other EOI applications. From this a shortlist of the most highly meritorious EOI applications is developed.
- 7.13 We will assess Your EOI application against the relevant eligibility criteria:
- Individuals nominated as a Centre Director, CI or PI will be assessed against the eligibility criteria for their nominated role and specifically institutional affiliation and grant opportunity limits.

- Research programs will be assessed against the medical research exclusions outlined in the ARC Medical Research Policy.
- 7.14 All EOI applications that meet the eligibility criteria will be assessed and merit ranked using selection criteria A and B.
- 7.15 The assessment process We will undertake comprises the following steps:
- We assign EOI applications to SAC members who will assess the EOI applications against the selection criteria.
 - We assign EOI applications to Detailed Assessors who will assess and report, and may provide written comments against the selection criteria. In assigning assessors the ARC takes the requests not to assess into account (see section below for further information).
 - Following assessment by Detailed Assessors, We provide a consolidated report of comments to You and You are invited to submit a rejoinder to the assessment text (see section below for further information on this process).
 - We provide the applications, scores and comments provided in the detailed assessments and the applicant's rejoinder to the SAC for consideration. Assigned SAC members assign their own scores against the relevant selection criteria.
 - The EOI applications are merit ranked against the selection criteria relative to the others on the basis of the EOI application, any assessors' reports and any rejoinder. This ranked listing forms the shortlist for which call for fully applications will be made. The SAC will consider this ranked list and shortlist EOI applications for full application. The SAC may also recommend that two or more EOI applications which demonstrate significant synergy, overlap or duplication be amalgamated into one full application.
 - The recommended shortlist of EOIs is submitted to Our CEO for decision.
- 7.16 If You are shortlisted, You will be invited to develop and submit a full application addressing the full selection criteria. Only invited applicants are eligible to submit a full application.

Full application assessment

- 7.17 We will assess Your full application against all the eligibility criteria.
- 7.18 All full applications which meet the eligibility criteria will be assessed and merit ranked using all the given selection criteria.
- 7.19 Your full application will be considered on its merits, based on:
- how well it meets the criteria;
 - how it compares to other applications; and
 - whether it provides value for money.
- 7.20 The assessment process comprises the following steps:
- We will assign full applications to Detailed Assessors who will assess and report, and may provide written comments against the selection criteria.

- Following assessment by Detailed Assessors, We provide a consolidated report of comments to You and You are invited to submit a rejoinder to the assessment text.
- The SAC considers the applications, the scores and comments provided in the detailed assessments and the applicant's rejoinder and assigns their own scores against the relevant selection criteria.
- The full applications are merit ranked against the selection criteria relative to the others on the basis of the application, any assessors' reports and any rejoinder.
- We may shortlist full applications prior to inviting applicants to interviews. You will be notified if You are unsuccessful at being invited to participate in an interview.

Interviews

- 7.21 If You are required to take part in an interview We will inform You of the interview format, date, time, and any required participants, at the same time. We will not fund interviewee participation. The SAC will conduct the interviews.
- 7.22 Following interviews, the SAC will finalise the list of recommended full applications and recommend a budget for each, relative to other full applications on the basis of the above assessment process and with consideration of value for money.

Requests not to assess process

- 7.23 You may name up to three persons whom You do not wish to assess an EOI and full application by submitting a 'Request Not to Assess' form as detailed on the ARC website. This form must be received by us on or before the relevant EOI closing date and time as given on the ARC website.
- 7.24 Only one request containing the names of up to three individual assessors may be submitted per EOI application.
- 7.25 An accepted Request not to Assess for an EOI Application will be used for any subsequent full application.
- 7.26 In extraordinary circumstances, You may submit a 'Request Not to Assess' form naming more than three persons whom You do not wish to assess an application. Any request containing more than three names must be accompanied by comprehensive evidence justifying the request for each person named (including the first three). If We consider the evidence is not sufficient for one or more of the named people, We may reject part or all of the request.
- 7.27 We will have absolute discretion about whether We accept or refuse a Request Not to Assess.

Rejoinder Process

- 7.28 You may be given the opportunity to respond to assessors' written comments on Your EOI application and full application through a rejoinder, and to provide any additional information requested by the ARC. Names of assessors will not be provided. Further information on the rejoinder process is available on Our website at www.arc.gov.au/rejoinders.

Who will approve grants?

- 7.29 In accordance with the ARC Act, Our CEO will submit grant recommendations to the Minister for consideration. We reserve the right to recommend funding levels which may be

less than those requested in the application, and duration of ARC funding which may differ from that requested in the application.

- 7.30 The Minister will determine which applications will be funded.
- 7.31 The Minister's decision is final in all matters, including:
- the approval of the grant;
 - the grant funding amount to be awarded;
 - the duration of the grant; and
 - the terms and conditions of the grant.
- 7.32 The ARC Act states that the Minister must not approve a grant for any application that fails to meet the eligibility criteria set out in these grant guidelines, and/or if they reasonably consider the program funding available across financial years will not accommodate the grant offer, and/or the application does not represent value for money.
- 7.33 Any successful application awarded a grant will be subject to sufficient funds being available for the Project and the provisions of the ARC Act.

8. Notification of application outcomes

Expression of Interest applications

- 8.1 You will be notified of the outcome of Your EOI application by the ARC via email, following a decision by the CEO.
- 8.2 We will advise You whether Your EOI application has been shortlisted. If it has been shortlisted, the notification will include information about the full application stage.
- 8.3 The ARC will provide written feedback to You on Your unsuccessful EOI application.
- 8.4 The list of shortlisted EOI applications, including key information, will be distributed to all Deputy Vice-Chancellors (Research), or equivalent, of the eligible organisations.

Full applications

- 8.5 Following submission of the full application, You will be advised if Your application has, or has not, been selected for interview.
- 8.6 You will be notified of the outcome of Your full application via RMS, following a decision by the Minister. The notification in RMS will include information on:
- successful and unsuccessful applications;
 - grant amounts;
 - Grant Agreement conditions; and
 - the commencement of the grant period. This is usually the Grant Commencement Date.
- 8.7 If You are successful, You will also be advised about any specific conditions (if any) attached to the grant offer and will be required to enter into a Grant Agreement in RMS.
- 8.8 For full applications, We will:
- provide written feedback to You on successful and unsuccessful full applications; and

- hold a follow-up teleconference with Your Deputy Vice-Chancellor (Research), Research Office Director and the nominated Centre Director.

9. Successful grant applications

The Grant Agreement

- 9.1 If You are successful You must enter into a legally binding Grant Agreement with the Commonwealth represented by the ARC.
- 9.2 We use the ARC Centres of Excellence agreement that has standard terms and conditions that cannot be changed. Any additional conditions attached to the grant will be identified in the Grant Offer.
- 9.3 You will have thirty [30] days from the date of a written offer to execute this Grant Agreement with the Commonwealth.
- 9.4 We must execute a Grant Agreement with You before We can make any payments. We are not responsible for any of Your expenditure until a Grant Agreement is executed. You must not start any ARC Centre of Excellence activities until a Grant Agreement is executed and agreements are in place with all Other Eligible Organisations and Partner Organisations contributing to the Centre and You notify the ARC.
- 9.5 Notwithstanding the above, once You have executed the Grant Agreement, but prior to all partner organisations executing agreements with You, You may expend up to \$100,000 of the grant funding in the first year of the Centre to assist in the establishment of the Centre. You must request Our approval to use this grant funding and outline the purposes to which it will be put. If We approve the request, You must not use this grant funding for any other purpose. Allowable expenses include: salary of a Chief Operating Officer or other senior administrative personnel.
- 9.6 If the grant amount awarded is different from that requested in the full application, but at 90 per cent or more than that requested, You may not make pro rata adjustments to the stated contributions of the Administering, Eligible and/or Partner Organisation contributions.
- 9.7 If the grant amount awarded is less than 90 per cent of that requested in the full application, You may make pro rata adjustments to the stated contributions of the Administering, Eligible and/or Partner Organisation contributions. These adjusted contributions must not be at a level lower than the value of the ARC grant as a proportion of the requested funding.
- 9.8 If You enter an agreement for an ARC grant, You cannot receive other grants for the same activities from other Commonwealth, State or Territory granting programs.
- 9.9 You will be required to conduct the project substantially in accordance with the “Project Description’ contained in the application for that project.
- 9.10 We may recover grant funds if You fail to meet the obligations of the Grant Agreement and We may terminate the project.

Specific legislation, policies and industry standards

- 9.11 You and each project participant are required to be compliant with all relevant laws regulations, and policies. In particular, to be eligible, You must certify in Your application that You comply with the following requirements.

Ethics and Research Practices

- 9.12 All applications and ARC-funded research projects must conform to the principles outlined in the following and successor documents:
- the *ARC Research Integrity and Research Misconduct Policy* (2016);
 - the *National Principles of Intellectual Property Management for Publicly Funded Research* (2017);
 - *ARC Open Access Policy* (2017);
 - the *Australian Code for the Responsible Conduct of Research* (2007);
 - as applicable, the *National Statement on Ethical Conduct in Human Research* (2007, updated 2015);
 - as applicable, *NHMRC Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003);
 - as applicable, *Australian Institute of Aboriginal and Torres Strait Islander Studies Guidelines for Ethical Research in Australian Indigenous Studies* (2012);
 - as applicable, *Australia Council for the Arts Indigenous Cultural Protocols for Producing Indigenous Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007); and
 - as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013).
- 9.13 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

Misconduct, Incomplete or Misleading Information

- 9.14 All research projects funded by us must comply with the *ARC Research Integrity and Research Misconduct Policy*, which is available on the ARC website.
- 9.15 If We consider that an application is incomplete, inaccurate or contains false or misleading information, or involves misconduct, We may in Our absolute discretion decide to recommend that the application not be approved for a grant.
- 9.16 A decision may be made by us at any stage during the assessment of the application and may result in non-progression of the application through the assessment process.
- 9.17 Examples of misleading information and misconduct include:
- providing fictitious Research Opportunity and Performance Evidence;
 - plagiarism;
 - making false claims in relation to the authorship of the application;
 - failing to make adequate acknowledgement of intellectual, design or other significant contributions to the application;

- making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
- making false claims in relation to qualifications and/or appointments;
- making false certifications; or
- failing to disclose the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the application/project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the project).

Intellectual Property

- 9.18 We do not claim ownership of any intellectual property in an application or in any research arising from a project.
- 9.19 You must adhere to an Intellectual Property policy, approved by Your governing body, which has as one of its aims the maximisation of benefits to Australia arising from publicly funded research. You should ensure that participants applying for ARC grants are familiar with the current Intellectual Property and patent landscape for the research areas included in the application. Unless otherwise approved by the Commonwealth, Your Intellectual Property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* and/or any successor document(s). These document(s) are available on Our website at www.arc.gov.au/national-principles-intellectual-property-management-publicly-funded-research).

Publication and Dissemination of Research Outputs and Research Data

- 9.20 All research projects funded by us must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is on our website www.arc.gov.au/arc-open-access-policy.
- 9.21 Participants and institutions have an obligation to collect and maintain research data in accordance with the *Australian Code for the Responsible Conduct of Research (2007)*. The ARC strongly encourages the depositing of data arising from a Project in an appropriate publicly accessible discipline and/or institutional repository. Participants must outline briefly in their application how they plan to manage research data arising from a project.
- 9.22 We strongly encourage all participants applying for grants to have an Open Researcher and Contributor ID (ORCID) in their RMS Profile.

How We pay the grant

- 9.23 Payments will be made as set out in the Grant Agreement.
- 9.24 The grant offer will specify the approved amount for that Project specified in the Grant Offer, or as otherwise varied by us in accordance with the Grant Agreement.
- 9.25 Any Project expenditure incurred by You for a Project additional to the approved amount for that Project specified in the Grant Offer, or as otherwise varied by us, is Your responsibility. The Commonwealth will not reimburse You for such costs under any circumstances.
- 9.26 You are responsible for any and all financial and taxation implications associated with receiving funds. Grant funding may be indexed. Grant funding will typically be paid monthly through the ARC's usual payment system.

- 9.27 Once the Grant Agreement is signed by the Commonwealth, payment will be made on the Grant Commencement Date or the next available date for scheduled grant payments.
- 9.28 Any grant 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.
- 9.29 All amounts referred to in these grant guidelines are to be read as exclusive of GST, unless expressly stated otherwise.

Grant Agreement variations

- 9.30 We recognise that unexpected events may affect the progress of a project. In these circumstances, You can request a project variation, including:
- changing a project's internal budget or research plan;
 - extending the timeframe for completing the project; or
 - changing participants or organisations named on the project.
- 9.31 You cannot request a project variation for an increase to the agreed amount of grant funds.
- 9.32 If You want to propose changes to the Grant Agreement, You must submit them through a Variation of Grant Agreement.
- 9.33 You should not assume that a variation request will be successful. We will consider Your request based on factors such as:
- how it affects the project outcome; and
 - consistency with the grant opportunity objectives, the project's aim and objectives and any relevant ARC policies.

Keeping us informed

- 9.34 You should let us know if anything is likely to affect Your Centre.
- 9.35 You must also inform us of any changes to Your:
- nominated contact details; or
 - bank account details.
- 9.36 If You become aware of a breach of terms and conditions under the Grant Agreement, You must contact us immediately.

10. Announcement of grants

EOI application

- 10.1 Outcomes of the EOI application process will not be publicly announced.

Full application

- 10.2 If Your full application is successful, Your grant will be listed on RMS immediately and the GrantConnect website 21 calendar days after the date of effect as required by Section 5.3 of the CGRGs.
- 10.3 We may publicise and report offers or grants awarded, including the following information about the project:
- Your name 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.
- 10.4 You should ensure that information contained in the proposed project title and summary descriptions would not, if released, compromise Your requirements for confidentiality (such as protection of Intellectual Property).
- 10.5 In making public information about a project which 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. Your responsibilities

Governance structure and arrangements

- 11.1 If successful, You must establish the administrative operations of the Centre within the academic, administrative and financial governance structures of the Administering Organisation.
- 11.2 A Centre may comprise integrated nodes or adopt any other appropriate approach to research management, provided that it meets the objectives and selection criteria and is not contrary to the Grant Agreement.
- 11.3 A Centre must implement appropriate governance structures to encourage centrally managed strategic alliances, training and collaboration with researchers, industry and stakeholders within Australia and internationally.
- 11.4 A Centre must have an expert Advisory Committee that provides broad professional representation of the research and end-user communities. Within the governance structures of the Administering Organisation, the Advisory Committee will provide advice and a strategic focus on the research activities for the Centre, its structure and general operating principles, international benchmarking and intellectual property and commercialisation management.
- 11.5 The Advisory Committee membership should include both national and international members and will have a Chair of significant reputation who will champion the Centre and provide advice to the Centre Director.

Participants

- 11.6 All CIs and PIs are expected to take responsibility for the authorship and intellectual content of the application, appropriately citing sources and acknowledging significant contributions.
- 11.7 Each named participant on the application is expected to take significant intellectual responsibility for any strategic decision required for in the pursuit of the Centre's objectives and the communication of results.
- 11.8 All CIs and PIs are expected 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 undertaken by others.

- 11.9 CIs must satisfy the eligibility criteria for their role for the full duration of that role in the Centre.

Centre Director

- 11.10 You must employ the Centre Director while they are in the role.
- 11.11 The Centre Director is expected to provide leadership and have the time and capacity to engage effectively in the activities of the Centre.
- 11.12 The Centre Director will be responsible for implementing the strategic direction of the Centre and managing the research program, The Centre Director must coordinate the research effort and oversee the reporting structures across the Eligible Organisation(s) and Partner Organisations.
- 11.13 If the Centre Director is at any time during the Centre no longer able to undertake this role for any period greater than two months due to leave, incapacity or other personal circumstances, the Centre may be continued under a replacement Centre Director provided that:
- as far as practicable, prior approval is obtained from the ARC for the replacement Centre Director three months before the change takes effect;
 - a replacement Centre Director meets the eligibility criteria for a Centre Director and those for a CI at the time of their nomination and for the full term of their participation in the Centre, and the reasons for replacement justified to the satisfaction of the ARC; and
 - the Administering Organisation has obtained written approval from all participating organisations for the change in Centre Director.

Chief Investigators

- 11.14 A CI is expected to reside in Australia. Any significant absences including fieldwork or study leave directly related to the project must have approval from You and must not total more than two years of the Project Activity Period. Where a CI's total absences during the funding period will exceed two years, You must seek approval from us in advance of any absences exceeding the two year limit. Any periods of absence must not exceed a total of six months in any 12-month period. This six-month period may be taken at one time or spread across a 12-month period.
- 11.15 If a CI is at any time no longer able to work as proposed on the project, a replacement CI may be appointed provided any replacement CI meets the CI eligibility criteria and our approval is obtained by means of a variation of Grant Agreement.

Partner Investigators

- 11.16 If a PI is at any time no longer able to work as proposed on the Centre, a replacement PI may be appointed provided that any replacement PI meets the PI eligibility criteria and our approval is obtained by means of a variation of Grant Agreement.

12. How We monitor Your grant activity

- 12.1 We will monitor the grant activities supported under this grant opportunity through requirements identified in the Grant Agreements for You to:
- submit end-of-year financial reports, annual reports, and final reports;
 - participate in performance reviews as outlined below; and

- provide information, as requested, for program or grant opportunity evaluations.
- 12.2 You must submit reports, in the required format, as stated in Your Grant Agreement. You will be able to download sample templates for a number of these reports from RMS. Annual reports are submitted via email and all other reports are submitted to Us through RMS.
- 12.3 The amount of detail You provide in Your reports should be relative to the size, complexity and grant amount.
- 12.4 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. Occasionally We may need to re-examine claims, seek further information or request an independent audit of claims and payments.

End of year financial reports

- 12.5 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.
- 12.6 If We are not satisfied with the progress of any Centre, further payment of funds may not be made until satisfactory progress has been made on the Centre. If satisfactory progress is still not achieved within a reasonable period of time, the grant may be terminated and all outstanding grant funding will be recovered by Us.

Annual report

- 12.7 You must submit an Annual Report covering both financial operations and research performance for Your Centre. This report must be submitted to Us by 31 March each year.
- 12.8 You must report on a range of KPIs common to all ARC Centres of Excellence and these are given in the Grant Agreement. The Centre will also be required to report on a range of Centre-specific KPIs. KPI targets must be developed by You and submitted for approval by us within six months of the commencement of the Centre's operation and later specified as part of the Grant Agreement.

Final report

- 12.9 You must submit a Final Report for the project within 12 months of the final ARC approved Project End Date.
- 12.10 The Final Report must address compliance with the conditions on which funding was granted, as set out in the Grant Agreement.
- 12.11 If the Final Report is not submitted, or is not satisfactory to us, this will be noted against future applications submitted by all participants named on the project.
- 12.12 We may seek additional information about subsequent Research Outputs after submission of the Final Report.

Performance reviews

- 12.13 Each ARC Centres of Excellence will undergo a rigorous and comprehensive external performance review arranged by us in its fourth year of operation.
- 12.14 Continuation of funding for the remaining years of operation will be dependent on the outcome of the review and You providing a satisfactory response including a plan to address the review recommendations.

- 12.15 ARC Centres of Excellence will not be eligible to apply for funding in future ARC Centres of Excellence grant opportunities until the scheduled fourth-year review is completed.
- 12.16 We may undertake ad hoc reviews of any Centre at any time. A review will be triggered in special circumstances including, but not limited to:
- a change of Centre Director; or
 - proposed transfer of the Centre to a new Administering Organisation.
- 12.17 Outcomes and feedback arising from the performance reviews may inform any evaluations of the grant opportunity.

Compliance visits and record keeping

- 12.18 We may visit You during Your grant activity to review Your compliance with the Grant Agreement. We may also inspect the records You are required to keep under the Grant Agreement. We will provide You with reasonable notice of any compliance visit.

Evaluation

- 12.19 The Key Performance Indicators (KPIs) for the Linkage Program are specified each year in the ARC Portfolio Budget Statements and the ARC Corporate Plan. The KPIs focus on long-term outcomes as well as medium term outcomes relating to building Australia's research capacity, for example, research careers and training, contributions in areas of national need and research collaboration. The KPIs are addressed each year in the ARC's annual report.
- 12.20 We undertake periodic evaluations of the performance and administration of the grant opportunities under the Linkage Program, including ARC Centres of Excellence. Your Grant Agreement requires You to provide information to help with this evaluation.
- 12.21 We will evaluate the ARC Centres of Excellence grant opportunity 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 NCGP was in achieving its outcomes.
- 12.22 We may contact You up to five years after You finish Your grant for information to assist with evaluation of the ARC Centres of Excellence grant opportunity.

Acknowledgement

- 12.23 Subject to commercial sensitivities and Intellectual Property considerations, the outcomes of projects are expected to be communicated to the research community and, where appropriate and possible, to the community at large in a way that highlights the value of the Australian Government research grants.
- 12.24 You must ensure that the ARC's contribution and support of the project is acknowledged in a prominent place and in a form acceptable to the ARC when, at any time during or after completion of a project, You or the researchers or any other party publishes, produces or is involved in promotional material which relates to the project. Promotional material may include books, articles, television or radio programs, electronic media, newsletters or other literary or artistic works.
- 12.25 Similar efforts must be made when publicly speaking about a project. Advice of acceptable forms of acknowledgement and use of the logo is provided on the ARC website. Any

Published Research Output must include acknowledgement of ARC funding and the 'ARC Project ID'.

13. Probity

- 13.1 We will ensure that the grant opportunity processes are fair, and:
- in accordance with the published guidelines, incorporate appropriate safeguards against fraud, unlawful activities and other inappropriate conduct; and
 - are consistent with the ARC Act and the CGRGs.

Appeals process

- 13.2 You are able to submit an appeal against the administrative process used to assess applications. The appeals process is designed to ensure that the application has been treated fairly and consistently in the context of selection procedures.
- 13.3 We will only consider appeals against the 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 in writing 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 28 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 You must submit appeals to us electronically to NCGP@arc.gov.au.
- 13.6 If You do not agree with the way the ARC has handled Your appeal, You may complain to the Commonwealth Ombudsman. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with the ARC.
- 13.7 The Commonwealth Ombudsman can be contacted on:
- 13.8 Phone (Toll free): 1300 362 072
Email: ombudsman@ombudsman.gov.au
Website: www.ombudsman.gov.au

Conflicts of interest

- 13.9 The ARC's purpose is to support the highest quality research and our conflict of interest policy is designed to ensure that all material personal interests are disclosed and, as a result, conflicts of interest are identified and managed in a rigorous and transparent way that ensures the integrity, legitimacy, impartiality and fairness of our processes. Management of conflicts of interest in this way is designed to maintain public confidence in our business processes.
- 13.10 Any conflicts of interest could affect conduct of the selection processes and/or 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:

- 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;
- 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
- has a relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives a grant under the Program.

- 13.11 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 participant or organisation named in an application must certify 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 application or project.
- 13.12 As part of the certification of Your application on RMS, You must certify that all Conflicts of Interest have been disclosed in accordance with this section. 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 (2007)*, the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.
- 13.13 We will handle any conflicts of interest as set out in the *ARC Conflict of Interest and Confidentiality Policy* which is consistent with Australian Government policies and procedures. Conflicts of interest for Australian Government staff will be handled as set out in the Australian Public Service Code of Conduct (Section 13(7)) of the *Public Service Act 1999*. We publish Our conflict of interest policy on the ARC website.
- 13.14 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. Committee members and other officials including the decision maker must also certify any conflicts of interest.

Privacy: confidentiality and protection of personal information

- 13.15 We treat Your personal information according to the 13 Australian Privacy Principles and the *Privacy Act 1988*. This includes letting You know:
- what personal information We collect;
 - why We collect Your personal information; and
 - who We give Your personal information to.
- 13.16 You are required, as part of Your application, to declare Your ability to comply with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors You engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.
- 13.17 Your personal information can only be disclosed to someone else:
- if You are given reasonable notice of the disclosure;

- where disclosure is authorised or required by law or is reasonably necessary for the enforcement of the criminal law;
 - if it will prevent or lessen a serious and imminent threat to a person's life or health; or
 - if You have consented to the disclosure.
- 13.18 The Australian Government may also use and disclose information about grant applicants and grant recipients under this grant opportunity 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:
- 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;
 - employees and contractors of the ARC so We can research, assess, monitor and analyse Our programs and activities;
 - employees and contractors of other Commonwealth agencies for any purposes, including government administration, research or service delivery;
 - other Commonwealth, State, Territory or local government agencies in program reports and consultations;
 - the Auditor-General, Ombudsman or Privacy Commissioner; and
 - a House or a Committee of the Australian Parliament.
- 13.20 We may share the information You give us with other Commonwealth agencies for any purposes including government administration, research or service delivery and according to Australian laws, including the:
- *Public Service Act 1999*;
 - *Public Service Regulations 1999*;
 - *Public Governance, Performance and Accountability Act*;
 - *Privacy Act 1988*;
 - *Crimes Act 1914*; and
 - *Criminal Code Act 1995*.
- 13.21 We will treat the information You give us as sensitive and therefore confidential if it meets all of the four conditions below:
- You clearly identify the information as confidential and explain why We should treat it as confidential;
 - the information is commercially sensitive;
 - revealing the information would cause unreasonable harm to You or someone else; and
 - You provide the information with an understanding that it will stay confidential.

13.22 The Grant Agreement will include any specific requirements about special categories of information collected, created or held under the Grant Agreement.

Freedom of information

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

13.24 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.

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

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

By email: foi@arc.gov.au

14. Consultation

14.1 The ARC will conduct a survey of applicants after the outcomes of each selection round are announced. Outcomes of the survey will be considered in the development of subsequent grant guidelines.

15. Acronyms

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

AEDT/AEST	Australian Eastern Daylight Time/Australian Eastern Standard Time
AIATSIS	Australian Institute for Aboriginal and Torres Strait Islander Studies
ARC	Australian Research Council, as established under the ARC Act.
ARC Act	<i>Australian Research Council Act 2001</i>
CGRGs	<i>Commonwealth Grants Rules and Guidelines 2017</i>
CI	Chief Investigator
EOI	Expression of Interest
FTE	Full Time Equivalent
FOI	Freedom of Information
FOI Act	<i>Freedom of Information Act 1982</i>
GST	The meaning as given in section 195-1 of the <i>A New Tax System (Goods and Services Tax) Act 1999</i>
HECS	Higher Education Contribution Scheme
HELP	Higher Education Loan Program
KPI	key performance indicator
NCGP	ARC National Competitive Grants Program
NHMRC	National Health and Medical Research Council
ORCID ID	Open Researcher and Contributor Identifier
PI	Partner Investigator
RMS	ARC's online Research Management System
ROPE	Research Opportunity and Performance Evidence
SAC	Selection Advisory Committee

16. Glossary

16.1 For the purposes of the Linkage Program Grant Guidelines, terms have the meanings defined below.

Term	Definition
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's end date.
Administering Organisation	An Eligible Organisation which submits an application for a grant and which will be responsible for the administration of the grant if the application is approved for funding.
Antarctic research	Antarctic research includes any research or monitoring project that could reasonably be considered to fall within the goals of the Australian Antarctic Science Strategic Plan 2011–12 to 2020–21.
Applicant	The Administering Organisation.
Application	A request for funding submitted through RMS by an administering organisations 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. In this grant opportunity it refers generically to either an EOI or full application.
ARC Project ID	This is the identifier assigned through the ARC's RMS when an application is commenced.
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.
ARC website	The website accessed using www.arc.gov.au .
Assessment criteria	The specified principles or standards, against which applications will be judged. These criteria are also used to assess the merits of applications and, in the case of a competitive grant opportunity, to determine application rankings.
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 a laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.
Centre Director	The person appointed to direct the ARC Centre of Excellence.

Term	Definition
Chief Executive Officer	The occupant of the position of the Chief Executive Officer of the ARC, or delegate, as established under the ARC Act.
Chief Investigator	A participant who satisfies the eligibility criteria for a CI under these grant guidelines.
Commonwealth	The Commonwealth of Australia, as represented by the Australian Research Council specified in these grant guidelines and includes, where relevant, its officers, employees, contractors and agents
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 3 of these grant guidelines.
Emeritus Appointment	Any honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) (or equivalent) in the application. For ARC purposes this relationship must include access to research support comparable to employees. The person would not be considered to hold an Emeritus Appointment for the purposes of these grant guidelines if they hold a substantive, paid position elsewhere.
Expression of Interest	Means a preliminary request to the ARC for a research Program which is submitted in accordance with the grant guidelines approved by the Minister.
Field research	The collection of information integral to the Project outside a laboratory, library or workplace setting and often in a location external to the participant's normal place of employment.
Full application	The complete application that invited applicants that are shortlisted from the EOI stage of the process may submit. It addresses all eligibility and assessment criteria.
Grant activity	The project /tasks /services that the grantee is required to undertake.
Grant Agreement	The agreement entered into by the ARC and an Administering Organisation when an application from that organisation is approved for grant funding. It is the same as the definition of a 'Funding Agreement'.

Term	Definition
Grant Commencement Date	The date on which a grant may commence.
grant offer	The details listed in the ARC's RMS under 'Funding Offers' showing the project details and grant amount.
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.
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 individual/organisation which has been selected to receive a grant.
In-kind contribution	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. The ARC 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	A set of quantifiable measures that ARC Centres of Excellence 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.
Linkage Program	For the purposes of eligibility, the grant opportunities funded under the Linkage Program of the NCGP which consist of: ARC Centres of Excellence, Industrial Transformation Research Hubs, Industrial Transformation Training Centres, Linkage Projects, Learned Academies Special Projects, Supporting Responses to Commonwealth Science Council Priorities and Special Research Initiatives.
Medical Research	Medical research as defined in the <i>ARC Medical Research Policy</i> available on the ARC website.
Minister	The Minister responsible for the administration of the <i>ARC Act</i> , or the Minister's delegate

Term	Definition
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 participant, available on the ORCID website, www.orcid.org
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. These contributions are most commonly identified in the research program section of the proposal or in a letter of support.
Participants	All named participants on an application (ie CIs, PIs, Directors); 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 Partner Investigator (PI) under these grant guidelines.
Partner Organisation	An Australian or overseas organisation, other than an Eligible Organisation, which satisfies the eligibility requirements for a Partner Organisation and is to be a cash and/or in-kind resources contributor to the Project.
Research Associate	A postdoctoral research associate funded by the Commonwealth through the Administering Organisation, who will be employed on the Project.
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 the grant spent by.
Recipient	An individual or organisation who has received grant funding from the ARC.

Term	Definition
Research	<p>For the purposes of these 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 work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man [humankind], culture and society, and the use of this stock of knowledge to devise new applications” OECD (2002), <i>Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development</i>, Paris (Page 30).</p>
Research Impact	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	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 of a research Project.
Selection Advisory Committee	A group of experts from academia and industry appointed to assist the ARC to evaluate applications and to provide a recommendation for funding to the CEO. A SAC may be drawn from the ARC College of Experts.
Selection criteria	Means 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.
Science and Research Priorities	Those priority research areas identified by the Australian Government, and available on the ARC website at www.science.gov.au/scienceGov/ScienceAndResearchPriorities

Term	Definition
Technical Workshop Services	The specialised construction and maintenance activities carried out by a technician, often within a dedicated facility for working with materials such as wood, glass, metal, plastics or electronics.
Travel Costs	The domestic and international economy travel costs associated with the Centre, including to foster and strengthen collaborations between researchers in Australia and overseas.
We	The Australian Research Council (ARC). 'Us' and 'Our' are also used in this context.
You	The Eligible Organisation. 'Your' is also used in this context.