

Grant Guidelines for the Linkage Program (2019)

Special Research Initiative in Excellence in Antarctic Science

For funding commencing in 2020

Opening date:	Available on GrantConnect
Closing date and time:	Available on GrantConnect
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, Dan Tehan, Minister for Education, 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 14 March 2019

Dan Tehan
Minister for Education

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1. Linkage Program: Special Research Initiative in Excellence in Antarctic Science processes

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

This grant program contributes to the ARC's Outcome 1, which is to grow knowledge and innovation through managing research grants, measuring research excellence and providing advice. The following process flowchart is relevant to the Special Research Initiative in Excellence in Antarctic Science (SRIEAS) grant opportunity.



The grant opportunity opens.

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



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



We manage the assessment process.

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

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

Selection Advisory Committee (SAC) members will then assess Your application, consider the Detailed Assessors' ratings and comments and Your rejoinder and assign a final score. We may provide sections of Your application to the Australian Antarctic Division (AAD) to consider: the strategic fit of the research proposed with the Australian Antarctic science priority research themes; and the feasibility of requests for logistics support from the AAD.



We make grant recommendations.

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

We may consider advice provided by the AAD about the strategic fit of the research proposed and the feasibility of any logistics support requested from the AAD.

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

In making recommendations to the Minister the CEO will consider the applicant's response to the National Interest Test. The CEO will seek information from Administering Organisations on applications where there is concern about how they meet the National Interest Test based on the information provided in the application form. The CEO will make grant recommendations to the Minister that satisfy the National Interest Test and which are eligible for funding.



Grant decisions are made.

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



We notify You of the outcome.

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



We enter into a grant agreement with You.

We enter into a grant agreement with You through RMS.



Delivery of the grant.

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



Evaluation of the grant opportunity.

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

2. Introduction

- 2.1. These grant guidelines contain information on the Special Research Initiative in Excellence in Antarctic Science (SRIEAS) grant opportunity.
- 2.2. This document sets out:
 - a. the objectives of the grant opportunity;
 - b. the grant support available;
 - c. the eligibility and assessment criteria;
 - d. how applications are considered and selected;
 - e. how grantees are notified and receive grant payments;
 - f. how grantees will be monitored and evaluated; and
 - g. responsibilities and expectations in relation to the grant opportunity.
- 2.3. In these grant guidelines:
 - a. an application refers to the completed documentation submitted to Us requesting a grant for the grant opportunity. If an application is successful, the grant activity is then referred to as a project; and
 - b. the glossary provides a list of defined terms and the definitions that apply to these terms throughout this document.
- 2.4. You and the named participants must read this document before applying for the SRIEAS grant opportunity.

3. About the Linkage Program

- 3.1. These grant guidelines establish the rules which govern the administration of the Linkage Program SRIEAS grant opportunity including the application, eligibility, and selection processes to be followed and the assessment criteria that will be used to recommend grant recipients.
- 3.2. The Linkage Program is one of two Programs under the ARC National Competitive Grants Program (NCGP).

Objectives

- 3.3. The Linkage Program supports the growth of research partnerships between university-based researchers and researchers in other sectors in Australia and overseas for projects that generate new knowledge, technologies and innovations.
- 3.4. The purpose of the Linkage Program is to promote national and international research partnerships between researchers and business, industry, community organisations and other publicly funded research agencies. By supporting the development of partnerships, the ARC encourages the transfer of skills, knowledge and ideas as a basis for securing commercial and other benefits of research.
- 3.5. The ARC's Linkage Program encourages and extends cooperative approaches to research and improve the use of research outcomes by strengthening links within Australia's innovation system and with innovation systems internationally.

- 3.6. The objectives of the Linkage Program are to deliver outcomes of benefit to Australia and build Australia's research and innovation capacity through support for:
- a. collaborative research between university-based researchers and researchers in other sectors;
 - b. research training and career opportunities that enable Australian and international researchers and research students to work with industry and other end-users; and
 - c. research in priority areas.
- 3.7. The current grant opportunities available under the Linkage Program are:
- a. Industrial Transformation Research Program (ITRP) comprising:
 - Industrial Transformation Research Hubs (Research Hubs);
 - Industrial Transformation Training Centres (Training Centres);
 - b. Linkage Projects;
 - c. Linkage Infrastructure, Equipment and Facilities (LIEF);
 - d. ARC Centres of Excellence;
 - e. Special Research Initiatives (SRI);
 - f. Learned Academies Special Projects; and
 - g. Supporting Responses to Commonwealth Science Council Priorities.

Intended Outcome

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

Scope and Timeframes

- 3.9. Linkage Program grants are awarded on the basis of excellence through a competitive peer review process for each grant opportunity.
- 3.10. Depending on the grant opportunity, Linkage Program grant applications will be accepted once a year, on a continuous basis or as required.

Key Performance Indicators

- 3.11. The Key Performance Indicators (KPIs) for the Linkage Program are identified each year in the ARC Portfolio Budget Statements and the ARC corporate plan. Reporting is provided every year in Our annual report.
- 3.12. The KPIs focus on long-term outcomes as well as medium-term outcomes relating to building Australia's research capacity, for example, research careers and training, contributions in areas of national need and research collaboration.

Other relevant information

- 3.13. The Linkage Program is undertaken according to the *Australian Research Council Act 2001* (ARC Act) and the *Commonwealth Grants Rules and Guidelines 2017* (CGRGs).
- 3.14. 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.

4. About the Special Research Initiative in Excellence in Antarctic Science (SRIEAS) grant opportunity

Important dates

- 4.1. The grant commencement date for SRIEAS funding in 2020 will be 1 January 2020 or such other date specified by the ARC if the grant does not commence on 1 January 2020.

Special Research Initiatives (SRI)

- 4.2. The objective of SRI grant opportunities is to support high-quality research for targeted areas which the Australian Government has identified as important for advancing Australia's research excellence to be globally competitive and delivering benefits to the community. This extends, but is not limited, to supporting research-related activities which will respond to emerging opportunities or changing priorities.

SRIEAS grant opportunity

Description

- 4.3. The SRIEAS grant opportunity is a 2018–19 Budget commitment by the Australian Government. The SRIEAS grant opportunity will provide funding over seven (7) years to support excellent research relating to the Antarctic and Southern Ocean.
- 4.4. Australia's Antarctic science program is fundamentally important to Australia, given Antarctica's proximity to Australia and its strategic, economic, scientific and environmental importance. The SRIEAS grant opportunity will retain and build on the considerable Antarctic scientific capability that has been developed through decades of Australian Government investment including through initiatives administered by the ARC and the Department of Industry, Innovation and Science.
- 4.5. Applications for funding under the SRIEAS grant opportunity will be accepted for research in the Australian Government's Australian Antarctic science priority research themes as identified in the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–2021* and the *Australian Antarctic Strategy and 20 Year Action Plan*, and any successor documents in place at the opening date for applications.
- 4.6. There are currently four Australian Antarctic science priority research themes: Climate Processes and Change; Terrestrial and Nearshore Ecosystems: Environmental Change and Conservation; Southern Ocean Ecosystems: Environmental Change and Conservation; and Frontier Science. See stream implementation plans as defined in the glossary for further information.

- 4.7. The SRIEAS grant opportunity may support one or several research projects that will contribute to sustaining Australia's reputation for world-class science in the Antarctic. They may be small or large research projects that are:
- conducted in the Antarctic, the Subantarctic, and/or Southern Ocean; or
 - undertaken wholly in Australia (that is, not involving travel to the Antarctic, the Subantarctic and/or Southern Ocean).
- 4.8. Under the SRIEAS grant opportunity there are different eligibility requirements and assessment processes depending on the scale of funding being requested, and whether the application is seeking logistics support from the Australian Antarctic Division.
- 4.9. The Department of Environment and Energy, through its Australian Antarctic Division (AAD), is responsible for leading, coordinating and delivering the Australian Antarctic Program. The AAD manages and implements combined sea, air and continental transport capabilities to undertake wide-ranging marine, ice and aviation-based research activities. The AAD cannot be a Partner Organisation in a SRIEAS application but AAD researchers can be Partner Investigators.
- 4.10. We reserve the right to undertake one or more grant opportunities for the SRIEAS if the funding allocation is not fully committed.

Objectives

- 4.11. The objectives of the SRIEAS grant opportunity are to:
- support excellent research in identified Australian Antarctic science priority research themes;
 - contribute to a coordinated and collaborative approach to Antarctic, Subantarctic and Southern Ocean research that builds on Australia's existing capability in this area;
 - build Australian research capacity in this area by supporting researchers of the highest international standing as well as high quality postdoctoral researchers and research students; and
 - advance Australia's capabilities and knowledge in Antarctic research.

5. Grant amount and grant period

- 5.1. The SRIEAS grant opportunity will provide \$56 million in funding over seven years from 2020 to 2026. We will consider applications for funding as outlined in Table 1.

- 5.2. **Table 1:** Grant funding amount and duration

Category	Details
SRIEAS funding level	Between \$300,000 and \$8 million per year.
SRIEAS funding duration	Between two and seven consecutive years.

- 5.3. We will consider requests for funding of \$8 million per year for seven (7) years in exceptional circumstances. An outstanding case must be made for the funding including clear evidence of existing capability and plans for the achievement of outcomes of benefit to Australia.

- 5.4. Funding may be sought for a grant which commences in a later year (for example, 2022 may be the first year of funding sought), but funding must be sought for a minimum of two consecutive years.
- 5.5. 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.
- 5.6. All funding decisions regarding the SRIEAS grant opportunity will be made by the Minister in accordance with the ARC Act.
- 5.7. If successful, You can only spend grant funds on eligible grant activities as defined in Section 7 of these grant guidelines and the grant details in Your grant agreement.

6. Grant eligibility criteria

- 6.1. We cannot recommend Your application to the Minister for funding if it does not satisfy all grant eligibility criteria.
- 6.2. This section of the grant guidelines provides details of the eligibility requirements for:
 - a. eligible applications; and
 - b. eligible participants being:
 - i. Administering Organisations;
 - ii. Other Eligible Organisations;
 - iii. Other Organisations;
 - iv. Partner Organisations; and
 - v. named participants.

What are the eligibility requirements for applications?

- 6.3. To be eligible, Your application must:
 - a. address one or more of the Australian Antarctic science priority research themes as articulated in the [stream implementation plans](#); and
 - b. have at least one Chief Investigator (CI) from the Administering Organisation.
- 6.4. To apply for less than \$1 million per year, your application:
 - a. must include at least one CI;
 - b. must nominate a CI from Your organisation who will be the Project Leader; and
 - c. may include one or more Other Eligible Organisations or Partner Organisations.
- 6.5. To apply for \$1 million or more per year, your application must:
 - a. include one or more Other Eligible Organisations;
 - b. include one or more Partner Organisations;
 - c. include at least one CI from each Other Eligible Organisation;
 - d. include at least one PI from each Partner Organisation; and
 - e. identify a Project Director from Your organisation to lead the research program.

- 6.6. You and each Other Eligible Organisation on an application must commit 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 project and the relative contribution of any Chief Investigators or Partner Investigator(s) at the organisation.

Who is eligible to apply for a grant?

- 6.7. We will only accept applications from the Eligible Organisations listed in Section 6.9.
- 6.8. 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'.
- 6.9. Eligible Organisations:

Australian Capital Territory

- Australian Institute of Aboriginal and Torres Strait Islander Studies
- The Australian National University
- University of Canberra

New South Wales

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

Northern Territory

- Batchelor Institute of Indigenous Tertiary Education
- Charles Darwin University

Queensland

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

South Australia

- 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 (RMIT University)
- Swinburne University of Technology
- The University of Melbourne
- University of Divinity
- Victoria University

Western Australia

- Curtin University
- Edith Cowan University
- Murdoch University
- The University of Notre Dame Australia
- The University of Western Australia

6.10. Administering Organisations must make a cash and/or in kind contribution to the project.

Who is eligible to be an Other Eligible Organisation?

- 6.11. An Eligible Organisation listed on an application that is not the Administering Organisation will be an Other Eligible Organisation.
- 6.12. Other Eligible Organisations must make a cash and/or in kind contribution to the project.

Who is eligible to be a Partner Organisation?

- 6.13. To be eligible as a Partner Organisation, an organisation cannot be:
 - a. an Eligible Organisation;
 - b. a controlled entity of any Eligible Organisation
 - c. an entity (for example a joint venture) where more than 50 per cent is owned by one or more Eligible Organisations; or
 - d. the AAD (as stated in 4.9 of these grant guidelines).
- 6.14. Each Partner Organisation must:
 - a. provide evidence of new or ongoing collaboration between the Partner Organisation either directly with You, and/or with an Other Eligible Organisation on the application; and
 - b. make a contribution of cash and/or in-kind and/or other material resources that is specific to the project, and having regard to the total cost of the project and not be part of a broader contribution to Your organisation or an Other Eligible Organisation.
- 6.15. Partner Organisation cash contributions cannot:
 - a. be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory Government for the purposes of research, nor from funds previously used to leverage government research or research infrastructure funding; or
 - b. be a contribution to salaries for CIs and/or PIs on the application.

Who is eligible to be an Other Organisation?

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

Who is eligible to be a named participant?

- 6.18. Named participants are those individual researchers who are nominated for the particular roles identified for a grant opportunity.
- 6.19. Roles that named participants may be nominated for under the SRIEAS grant opportunity are:
 - a. Project Director (for applications requesting \$1 million or more per year);
 - b. Chief Investigator (CI); and
 - c. Partner Investigator (PI).

- 6.20. All named participants in an application must:
- a. satisfy the eligibility criteria for the role they are to perform;
 - b. take responsibility for the authorship and intellectual content of the application, appropriately citing sources and acknowledging all significant contributions, including from third parties;
 - c. take significant intellectual responsibility for the conception and conduct of the project and for any strategic decisions required in its pursuit and the communication of results;
 - d. make a commitment to carrying out the project and not assume the role of a supplier of resources for work that will largely be undertaken by others;
 - e. provide effective supervision, support and mentoring of research personnel, as required; and
 - f. have met their obligations regarding previously funded projects, including submission to the ARC of satisfactory final reports as at the grant opportunity closing date.

Project Director

- 6.21. The Project Director is the first named Chief Investigator on an application for \$1 million or more per year.
- 6.22. The Project Director will be responsible for developing and implementing the research project. The Project Director must also provide strategic leadership and oversee governance.

Eligibility to apply

- 6.23. To be eligible, the nominated participant for the Project Director role must, as at the grant opportunity closing date:
- a. meet all the eligibility criteria to apply as a CI; and
 - b. commit a minimum of 50 per cent of Full Time Equivalent (0.5 Full Time Equivalent (FTE)) to the research project.

Eligibility to hold

- 6.24. The Project Director must be employed by You at the grant commencement date and for the project activity period.

Chief Investigator

Eligibility to apply

- 6.25. An individual is not eligible to be nominated as a CI if, as at the grant commencement date, or during the project activity period, the individual is undertaking an HDR. Individuals are eligible to be a CI if they are undertaking a HDR during the application period and the HDR is conferred prior to the grant commencement date.

Eligibility to hold

- 6.26. As at the grant commencement date, and for the project activity period, CIs must meet at least one of the following criteria:
- a. be an employee for at least 20 per cent of Full Time Equivalent (0.2 FTE) at an Eligible Organisation; or
 - b. be a holder of an Honorary Academic Appointment (as defined in the Glossary) at an Eligible Organisation.
- 6.27. CIs must reside predominantly in Australia for the project activity period. Any significant absences including fieldwork or study leave directly related to the project must have approval from You and must not total more than half the project activity period. Where the individual will be absent for greater than half the project activity period, changes must be approved by Us in advance via a Variation.

Partner Investigators

Eligibility to apply

- 6.28. A PI must not be eligible to be a CI at the grant commencement date.
- 6.29. A PI may, or may not, be an employee of a Partner Organisation.

Eligibility to hold

- 6.30. A PI must not meet the eligibility criteria for a CI during the project activity period.
- 6.31. You may name a participant as a PI, who would otherwise be a CI, but who does not reside predominantly in Australia.

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

- 6.32. We acknowledge that individuals nominated in a SRIEAS 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 SRIEAS application is known.
- 6.33. 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.
- 6.34. The Project Director and CIs on a successful 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. We reserve the right to determine which grants are to be relinquished.

7. What the grant money can be used for

Eligible grant activities

- 7.1. Research activities that meet the definition of 'research', as stated in the glossary in these grant guidelines are eligible to be supported under the SRIEAS grant opportunity.
- 7.2. Only Antarctic research is eligible to be supported under the SRIEAS grant opportunity. Antarctic research in this context means research which may be conducted in the Antarctic, the Subantarctic or Southern Ocean, entirely in Australia, or a combination of these locations; and must focus on one or more of the Australian Antarctic science priority research themes as identified in the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–2021* and the *Australian Antarctic Strategy and 20 Year Action Plan*, and any successor documents in place at the opening date for applications.

Activities not supported

- 7.3. Unless the following activities meet the definition of research stated in the glossary in these grant guidelines or are specifically included in the logistics support section below, the SRIEAS grant opportunity does not support production of:
 - a. computer programs, research aids and tools;
 - b. data compilations, catalogues or bibliographies; or
 - c. teaching materials.
- 7.4. The Linkage Program does not support applications that involve Medical Research, as detailed in the *ARC Medical Research Policy* on the [ARC website](#).

Eligible expenditure

Standard items

- 7.5. Grant money may be requested and used for budget items that directly support the research project contained in an application, including the following items:
 - a. access to national and international research and infrastructure facilities including specialist archives, collections and databases;
 - b. access to technical workshop services linked to and justified explicitly against the project (for example, machine tools and qualified technicians);
 - c. expert services of a third party if the services are directly related to and essential for the project. Such services include, but are not limited to:
 - i. language translation services, transcribing services;
 - ii. purchase of bibliographical or archival material (electronic or hard copy); and
 - iii. data collection and analysis services;
 - d. equipment (and its maintenance) and consumables essential for the project. Funding will not be provided for equipment or consumables that are considered to be for broad general use;

- e. travel costs essential to the project, including economy travel costs for domestic and/or international travel associated with the project, including to foster and to strengthen collaborations between researchers in Australia and overseas;
- f. publication and dissemination of project research outputs and outreach activity costs;
- g. specialised computer equipment and software essential to the project;
- h. web hosting and web development specific to the project;
- i. workshops and conferences that are essential for the conduct of the project (including reasonable hospitality costs such as morning tea, lunch and afternoon tea);
- j. salaries and up to 30 per cent on-costs for personnel, for example postdoctoral research associates, research assistants, technicians and laboratory attendants. Salary support must be requested at an appropriate salary level for the position within the Administering or Other Eligible Organisation(s);
- k. stipends for HDR candidates at a rate of \$27,094 per year¹; and
- l. reasonable essential costs to allow a participant who is a carer, or who personally requires care or assistance, to undertake travel essential to the project.

Logistics support

- 7.6. For applications that involve a request for logistics support, funding may be requested for logistics items up to a combined maximum of 30 per cent of the total ARC grant value. Funding may be sought for logistics provided by Australia (through the Australian Antarctic Division), other countries with Antarctic research programs or other commercial logistics providers.
- 7.7. Examples of logistics items which may be funded are:
 - a. pre-departure workshops, medicals, briefings and training that are essential for the conduct of the project (including reasonable hospitality costs such as morning tea, lunch and afternoon tea);
 - b. project-specific costs for the use of specialised ocean-going vessels and other key science support capability such as aircraft, appropriate for the proposed Antarctic, Subantarctic and/or Southern Ocean research;
 - c. relevant training activities (for example, wilderness first aid, quad bike training); and
 - d. expenditure on field research essential for participants on the project, including:
 - i. technical and logistical support (for example, cost of installation and removal of equipment in Antarctic, communication costs from Antarctic operational sites); and
 - ii. travel expenses (including accommodation, meals and incidental costs) and general domestic and international travel costs (economy for project personnel to and from the main departure ports for Antarctic-bound travel (that is, Hobart, Ushuaia, Punta Arenas, Cape Town and Christchurch)).

¹ The figures in this section are based on the 2018 price levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC website.

- 7.8. You must justify all items for which grant money is sought in Your application to Our satisfaction.
- 7.9. 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

- 7.10. You cannot request or use the grant money for the following activities:
 - a. bench fees or similar laboratory access fees;
 - b. basic facilities that should normally be funded by an Administering Organisation, Eligible Organisation and/or Partner Organisation (including standard refurbishment costs of a laboratory);
 - c. capital works and general infrastructure costs;
 - d. costs not directly related to the project, including but not limited to professional membership fees, professional development courses, fees for patent application and maintenance, equipment for live music or drama performances, equipment for gallery/museum exhibits, visas, relocation costs, entertainment costs, insurance, mobile phones (purchase or call charges) and other indirect costs;
 - e. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students;
 - f. salaries and/or on-costs and/or HDR stipends for CIs or PIs, in whole or in part;
 - g. salary top ups for personnel above the salary level specified in these grant guidelines;
 - h. base contract costs or crew costs of specialised ocean-going vessels and other key science support capability such as aircraft, appropriate for the proposed Antarctic, Subantarctic and/or Southern Ocean research;
 - i. budget items which are supported or will be supported by another organisation;
 - j. teaching relief; and
 - k. direct development of products and other commercialisation activities.
- 7.11. The following basic facilities must be provided (where relevant) and funded by You or the Other Eligible Organisations and are not funded by the ARC:
 - a. access to a basic library collection;
 - b. access to film or music editing facilities;
 - c. work accommodation (for example, laboratory and office space, suitably equipped and furnished);
 - d. basic computer facilities and standard software; and
 - e. standard reference materials or funds for abstracting services.
- 7.12. In-kind contributions in the budget section of the application should not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.

8. The assessment criteria

- 8.1. You must address all of the relevant assessment criteria in Your application. Different weightings are assigned to individual criterion.
- 8.2. The application form asks questions that relate to the assessment criteria. The amount of detail and supporting evidence You provide in Your application should be relative to the project size, complexity and grant amount requested. The application form includes character, word and page limits.

a. Research Program - Quality and Innovation 40%

Describe the extent to which the proposed research program:

All applications

- will display outstanding research excellence and lead to significant advancement of knowledge, expertise and technologies in Antarctic science
- will be innovative and original
- will build highly effective collaboration across Antarctic science researchers

Applications requesting funding for \$1 million or more per year

- will be effective and highly integrated (including the 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 and networks.

b. Investigators 30%

Describe:

All applications

- the contribution of all named participants to the proposed research program including their capacity and commitment to the program
- the extent to which investigators have the skills and experience to deliver the outcomes of the project within the timeframe requested, giving consideration to Research Opportunity and Performance Evidence (ROPE)

Applications requesting funding for \$1 million or more per year

- the leadership ability of the Project Director, including capacity to perform the responsibilities of the role including strategic planning and development

c. Institutional Support and Governance **20%**

Describe:

All applications

- the appropriateness of the combined level of support and commitment from the Administering Organisation, Other Eligible Organisations and Partner Organisations

Applications requesting funding for \$1 million or more per year

- the proposed organisational structure of the grant, including governance requirements as follows:
 - i. proposed management arrangements and responsibilities (including management of dispersed and diverse teams and reporting arrangements both internally and externally); and
 - ii. financial systems, strategic and translation plans, milestones for achievement of objectives and delivery of outputs and outcomes, and draft Key Performance Indicators.

d. Benefit **10%**

All applications

Describe the extent to which the research program:

- will expand Australia's knowledge base and research capability and enhance Australia's international reputation and competitiveness;
- will deliver outcomes commensurate with the request for appropriate resources (value for money);
- will contribute to research training at the Honours, postgraduate and postdoctoral level to create a future workforce for Antarctica; and
- will translate the research outcomes and benefits to the wider community (where relevant).

9. How to apply

Application process

- 9.1. Before You submit an application, You and the named participants must read these grant guidelines, the sample application form, the Instructions to Applicants, and the draft grant agreement. These documents may be found at GrantConnect.
- 9.2. Any additional documents will also be published on GrantConnect and by registering on this website You will be automatically notified of any changes. Where there are inconsistencies, GrantConnect is the authoritative source.
- 9.3. To apply, You must:
 - a. complete the application form in the format We require;
 - b. address all of the eligibility and assessment criteria to be considered for a grant;
 - c. 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;
 - d. for each named participant list:
 - i. all current grants and requested funding under any ARC grant program; and
 - ii. all current grants under any other Commonwealth grant program. Full details of any financial assistance received for, or in connection with, the research activities or project must be disclosed in the application and on an ongoing basis;
 - e. make sure that Your application is submitted in accordance with these grant guidelines, grant agreement, Instructions to Applicants and application form. You must only submit an application, if it and the named participants, will be eligible for the grant opportunity as per these grant guidelines;
 - f. certify that the application is compliant with these grant guidelines and all relevant laws and regulations. Research Offices must ensure that the person assigned the Research Office Delegate role in RMS is authorised to certify and submit applications; and
 - g. submit Your application through Your Research Office.
- 9.4. Cash and in-kind contributions must be essential to the research program of the proposed project. It is Your responsibility to establish the merit of the case for the in-kind contributions.
- 9.5. Partner Organisation contributions must be specified in Australian dollars and, subject to these grant guidelines, contributed at the specified level regardless of currency fluctuations.
- 9.6. You are responsible for ensuring that Your application is complete and all details in the application are accurate and current at the time of submission. Giving incomplete, false or misleading information will exclude Your application from further consideration.
- 9.7. You cannot change Your application (additions, deletions or modifications) after the grant opportunity closing date and time.

- 9.8. We reserve the right at any point in the process to seek evidence from You to support the certification of applications. We are not obliged to accept any additional information, nor requests from You to correct applications after the closing time.
- 9.9. We may approve the withdrawal of an application upon receipt of a written request with justification from You. We will only approve such a request in exceptional circumstances.
- 9.10. We cannot fund the same research activities, infrastructure or project previously funded or currently being funded through any other Commonwealth grant.
- 9.11. The application form includes help information and further information is in the Instructions to Applicants document on GrantConnect. If You have any technical difficulties, please contact arc-systems@arc.gov.au.

Applications requesting Antarctic Logistics support

- 9.12. Logistics support in Antarctica may be provided by:
 - a. the AAD. At its discretion, the AAD may broker arrangements with other national Antarctic operators, or commercial logistic providers, to facilitate research in the Antarctic, Subantarctic and/or Southern Ocean and to ensure that resources are used in the most efficient and effective manner;
 - b. commercial logistics providers; or
 - c. operators from other countries.
- 9.13. For applications seeking logistics support from the AAD, the ARC may provide the information provided in the application to the AAD for their consideration as part of the assessment process.
- 9.14. In Your application, You must:
 - a. include information regarding the logistics required for field research in the Antarctic, Subantarctic and/or Southern Ocean (including transport and facilities), the estimated total cost and preferred timing of these; and
 - b. provide information on the preferred seasons of operation for any field research, and whether it is ship based, which stations or locations are proposed to be visited, and the critical timing requirements of these.
- 9.15. Information about the availability of AAD logistics support is available on the [AAD website](#).

Attachments to the application

- 9.16. You must attach supporting documentation to the application form in line with the instructions provided in these grant guidelines, 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.
- 9.17. If relevant, You must include a letter of support from each Other Eligible Organisation and Partner Organisation which must:
 - a. include the official letterhead;
 - b. be no more than two A4 pages;
 - c. include a brief profile of the organisation;

- d. provide details of the cash and/or in-kind contributions;
- e. explain the source of its cash contribution (if a cash contribution is being made);
- f. certify that no part of its cash contribution is drawn from funds previously appropriated or awarded from Commonwealth or Australian State or Territory Government sources for the purposes of research (if a cash contribution is being made) nor from funds previously used to leverage government research or research infrastructure funding;
- g. provide details regarding how the application aligns with the Eligible or Partner Organisation's strategic objectives;
- h. certify that it will meet the requirements outlined in a standard ARC grant agreement, including the requirement to enter into arrangements regarding Intellectual Property which do not unreasonably prevent or delay academic outputs; and
- i. specify the participation of named participant researchers who are employed by the Organisation in the application; and
- j. be signed by, as appropriate, the Chief Executive Officer or Deputy Vice-Chancellor (Research), or delegate.

Timing of the grant opportunities

- 9.18. We publish information on GrantConnect for all NCGP grant opportunities and this includes the relevant timing for the submission of applications.
- 9.19. You must submit Your application to Us between the grant opportunity opening and closing date and time specified on GrantConnect. We will not accept late applications, other than in exceptional circumstances (such as due to natural disasters) in which case We will discuss this with You, and if We agree, invite You to make a late application.
- 9.20. Subject to these grant guidelines, a grant will commence on or after the grant commencement date for the grant opportunity, after Ministerial announcement, or other arrangements that are approved by the ARC.

Questions during the application period

- 9.21. Questions during the application period should be directed to Your Research Office. Answers to frequently asked questions may also be posted on GrantConnect.

10. The grant selection process

- 10.1. All applications will be considered through a competitive grant process.

Who will assess applications?

- 10.2. Applications submitted for SRIEAS grants will be assessed by Detailed Assessors and a SAC comprising General Assessors.
- 10.3. Detailed Assessors are discipline-specific and/or interdisciplinary experts in their knowledge fields drawn from the ARC assessor community. Detailed Assessors are assigned applications to review based on their specific expertise in one or more fields of research.

- 10.4. We will appoint one SAC for the SRIEAS grant opportunity. The SAC may consist of both eminent academic experts and/or ARC College of Expert members who are assigned applications to assess based on their discipline.
- 10.5. Any Detailed Assessors or General Assessors who are not Australian Public Servants must adhere to and uphold the *Australian Code for the Responsible Conduct of Research* (2018).
- 10.6. Any College of Experts or SAC members who are not an Australian Public Servant must uphold the Australian Public Service Values and Code of Conduct in accordance with Part 1, section 2.9 of the CGRGs.
- 10.7. We have procedures in place for managing organisational and personal Conflicts of Interest for Detailed Assessors, SAC members and ARC staff. Details of these procedures are in the relevant section of these grant guidelines and in the ARC's *Conflict of Interest and Confidentiality Policy*.
- 10.8. The ARC may provide parts of the application to the AAD for advice on strategic fit and logistics support (where support is sought from the AAD). Advice that logistics support is feasible does not mean that support will be provided. This decision will be made season to season following application to the AAD.

What is the grant assessment process?

Eligibility process

- 10.9. We will review Your application against all the eligibility criteria contained in these grant guidelines.
- 10.10. We may determine whether an application meets the eligibility requirements in these grant guidelines at any stage during assessment of the application.
- 10.11. If We consider that an application is ineligible, the application may not be progressed through the assessment process.
- 10.12. If an application is ineligible, We must not recommend the application for funding.

Peer review of applications

- 10.13. All applications which meet the eligibility criteria will be peer reviewed through a process managed by Us.
- 10.14. Your application will be considered on its merits, based on:
 - a. how well it meets the assessment criteria;
 - b. how it is ranked against other applications; and
 - c. whether it provides value for money (see glossary).
- 10.15. The process that We will undertake includes the following steps:
 - a. We assign applications to General Assessors.
 - b. Applications are assigned to Detailed Assessors. In assigning assessors, We may take requests not to assess into account (see below for further information).
 - c. Detailed Assessors provide assessments to Us with scores and written comments against assessment criteria for each application.

- d. Applicants are provided with Detailed Assessors' comments and are invited to submit a rejoinder to the assessment text (see below for further information on this process).
- 10.16. We may ask the AAD to provide advice to Us on the relevant section of all applications for strategic fit, and the relevant section of any applications requesting logistics support from them.

Requests not to assess process

- 10.17. You may name up to three persons whom You do not wish to assess an application by submitting a 'Request Not to Assess' form as detailed on GrantConnect and on the [ARC website](#). This form must be received by Us two weeks prior to the grant opportunity closing date.
- 10.18. Only one request containing the names of up to three individual assessors may be submitted per application.
- 10.19. If You name a current ARC College of Experts member, as listed on the ARC website at the time of submitting the 'Request Not to Assess' form, the request must be accompanied by comprehensive evidence justifying the request for the ARC College of Experts member or members named. If We consider the evidence is not sufficient for the named ARC College of Experts member or members, We will reject part, or all, of the request.
- 10.20. 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 all persons listed. If We consider the evidence is not sufficient for one or more of the named people, We will reject part, or all, of the request.
- 10.21. We will have absolute discretion about whether We accept or refuse a 'Request Not to Assess'. We will not notify You of the outcome.

Rejoinder process

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

Selection Advisory Committee review

- 10.23. Applications, scores and comments provided in the detailed assessments and the applicant's rejoinder are provided to the General Assessors for consideration. General Assessors assign their own scores against the relevant assessment criteria.
- 10.24. The SAC meets to discuss the ranking of each application relative to other applications and determines funding recommendations.
- 10.25. We may undertake interviews as part of the assessment process. If interviews are to be undertaken, You will be notified if Your application has, or has not, been shortlisted for interview. The format of interviews will be determined by Us, and would be expected to include the proposed Project Leader/Director, and key participants to be in attendance. We will not fund any costs for attendance at interviews. The ARC reserves the right to interview some, all, or none of the applicants.

- 10.26. The SAC makes recommendations to the CEO on which applications should be approved for funding, which applications should not be approved for funding, and the level of funding and duration of each grant.

Final recommendations

- 10.27. The CEO will make recommendations for funding to the Minister based on any number of assessments.
- 10.28. The CEO may consider AAD advice about strategic fit and logistics support (where relevant) in deciding which applications to recommend for funding.
- 10.29. The CEO will make grant recommendations to the Minister who may make a decision on which applications are approved for funding.

National interest test

- 10.30. On the application form, applicants must provide a separate response on the national interest of the research proposal.
- 10.31. In making recommendations to the Minister, the CEO will:
- a. consider the recommendations from the SAC;
 - b. consider the applicant's response to the National Interest Test;
 - c. seek information from Administering Organisations on applications where there is concern about how they meet the National Interest Test based on the information provided in the application form; and
 - d. make grant recommendations to the Minister that satisfy the National Interest Test and which are eligible for funding.

Who will approve grants?

- 10.32. In accordance with the ARC Act, Our CEO will submit grant recommendations to the Minister for consideration.
- 10.33. The Minister will determine which grants to approve. The Minister's decision is final in all matters, including:
- a. the approval of the grant;
 - b. the grant funding amount to be awarded;
 - c. the duration of the grant; and
 - d. the terms and conditions of the grant.
- 10.34. The ARC Act states that the Minister must not approve a grant for any application that fails to:
- a. meet the eligibility criteria;
 - b. comply with the assessment process; and
 - c. satisfy the requirements for financial assistance.
- 10.35. The CGRGs states that the Minister must consider the key principle of achieving value with money when approving a grant.

- 10.36. Any successful application awarded a grant will be subject to sufficient funds being available for the project and the provisions of the ARC Act.

11. Notification of application outcomes

- 11.1. You will be notified of the outcome of Your application via RMS, following a decision by the Minister. The notification in RMS will include information on:
- successful and unsuccessful applications;
 - feedback on unsuccessful applications;
 - grant amounts;
 - any Special Conditions to be included in the grant agreement; and
 - the commencement of the grant period.
- 11.2. If You are unsuccessful, You may be able to submit a new application for the same, or similar, research in any future SRIEAS grant opportunity rounds that may be conducted. You should include new or more information to address any weaknesses that may have prevented Your previous application from being successful.
- 11.3. If Your application is found to be ineligible, You will be notified of this through RMS.

Feedback on Your application

- 11.4. If Your application was found to be eligible but is unsuccessful, feedback on Your application will be provided through RMS.

12. Successful grant applications

The grant agreement

- 12.1. If You are successful, You must enter into a legally binding grant agreement with the Commonwealth represented by the ARC.
- 12.2. We use the SRIEAS grant agreement that contains standard terms and conditions that cannot be changed. The draft grant agreement is available on GrantConnect. Any additional Special Conditions attached to the grant will be identified in the grant offer.
- 12.3. You will have 28 calendar days from the date of the grant offer to execute this grant agreement with the Commonwealth.
- 12.4. We must execute a grant agreement with You before We can make any payments. We are not responsible for any of Your project expenditure until a grant agreement is executed. You must not start any activities until all third party agreements are executed.
- 12.5. If the grant amount awarded is different from that requested in the 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.
- 12.6. If You enter an agreement for a SRIEAS grant, You cannot receive other grants for the same budgeted grant activities from other Commonwealth grant programs.

- 12.7. You will be required to conduct the project substantially in accordance with the 'Project Description' contained in the application for that project. Your application forms part of the grant agreement.
- 12.8. We will recover grant funds and terminate the project if You fail to meet the obligations of the grant agreement.

Specific research policies and practices

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

Ethics and Research Practices

- 12.10. All applications and ARC-funded research projects must comply with the requirements specified in the following and successor documents:
 - a. the *ARC Research Integrity and Research Misconduct Policy* (2018);
 - b. the *National Principles of Intellectual Property Management for Publicly Funded Research* (2017);
 - c. the *ARC Open Access Policy* (2017);
 - d. the *Australian Code for the Responsible Conduct of Research* (2018);
 - e. as applicable, the *National Statement on Ethical Conduct in Human Research* (2018);
 - f. as applicable, *Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders* (2018);
 - g. as applicable, Australian Institute of Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Australian Indigenous Studies* (2012);
 - h. as applicable, Australia Council for the Arts *Protocols for Producing Indigenous Australian Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007); and
 - i. as applicable, the *Australian Code for the Care and Use of Animals for Scientific Purposes* (2013).
- 12.11. If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency. These documents are all available on the [ARC website](#).

Legislative and policy requirements for visiting the Antarctic and Southern Ocean

- 12.12. All research projects conducted in the Antarctic, the Subantarctic and Southern Ocean must comply with all relevant international obligations and national and state legislative requirements regardless of the provider of logistics support. Information on requirements for conducting research in the Australian Antarctic Territory are provided on the [AAD website](#).
- 12.13. Further information on the conditions of participation in the Australian Antarctic Science Program (if relevant) are provided on the [AAD website](#).

- 12.14. CIs are required to inform the AAD of any Australian travelling to the Antarctic, the Subantarctic or Southern Ocean as part of a project. This will enable the AAD to provide advice on the necessary permits, work health and safety requirements, and other steps that need to be taken prior to travel.
- 12.15. CIs are required to obtain all the necessary permits and authorisations from the relevant authorities and meet all legislative requirements prior to final approval for travel to the Antarctic, the Subantarctic or Southern Ocean.

Misconduct, incomplete or misleading information

- 12.16. All research projects funded by Us must comply with the *ARC Research Integrity and Research Misconduct Policy*.
- 12.17. If We consider that an application is incomplete We may in Our absolute discretion decide to recommend that the application not be approved for a grant.
- 12.18. If We consider that an application is inaccurate or contains false or misleading information, or involves misconduct, We will in Our absolute discretion decide to recommend that the application not be approved for a grant.
- 12.19. Examples of misleading information and misconduct include:
- a. providing fictitious Research Opportunity and Performance Evidence (ROPE);
 - b. plagiarism;
 - c. making false claims in relation to the authorship of the application;
 - d. failing to make adequate acknowledgement of intellectual, design or other significant contributions to the application;
 - e. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
 - f. making false claims in relation to qualifications and/or appointments;
 - g. making false certifications; and
 - h. 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

- 12.20. We do not claim ownership of any intellectual property in an application or in any research arising from a project.
- 12.21. 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 individuals 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 the ARC website.

Publication and dissemination of research outputs and research data

- 12.22. We strongly encourage all participants applying for grants to have an Open Researcher and Contributor Identifier (ORCID) in their RMS Profile.
- 12.23. All research projects funded by us must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is on the [ARC website](#).
- 12.24. Participants and institutions have an obligation to collect and maintain research data in accordance with the *Australian Code for the Responsible Conduct of Research* (2018). We strongly encourage 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.

Data management plans

- 12.25. All data produced through projects funded under the SRIEAS grant opportunity must be deposited with the Australian Antarctic Data Centre, or within another relevant data repository.
- 12.26. Information regarding ownership and management of data and samples is provided on the [AAD website](#).

How We pay the grant

- 12.27. Payments will be made as set out in the grant agreement.
- 12.28. The grant offer will specify the approved amount for that project, or as otherwise varied by Us in accordance with the grant agreement.
- 12.29. 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. We will not reimburse You for such costs under any circumstances.
- 12.30. 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 ARC's payment system.
- 12.31. Once the grant agreement is signed by the Commonwealth, payment will be made on the next available date for grant payments after the grant commencement date.
- 12.32. 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.
- 12.33. All amounts referred to in these grant guidelines are to be read as exclusive of the goods and services tax (GST), unless expressly stated otherwise.

Grant agreement variations

- 12.34. We recognise that unexpected events may affect the progress of a project. In these circumstances, You can request a variation to Your grant agreement, including:
 - a. changing a project's internal budget or research plan;
 - b. extending the timeframe for completing the project; and
 - c. changing participants or organisations named on the project.
- 12.35. You cannot request an increase to the agreed amount of grant funds.

- 12.36. If You want to propose changes to the grant agreement, You must submit a Variation of grant agreement (Variation) to Us in RMS.
- 12.37. If a CI is at any time no longer able to work as proposed on the project, the project may be continued, provided any replacement CI meets the CI eligibility criteria. We must approve these changes via a Variation.
- 12.38. If a PI is at any time no longer able to work as proposed on the project, the project may be continued, provided any replacement PI meets the PI eligibility criteria. We must approve these changes via a Variation.
- 12.39. A Variation must be approved by Us to be a valid part of the grant agreement. We will consider Your request based on factors such as:
 - a. how it affects the project outcome; and
 - b. consistency with the grant opportunity objectives, the project's aims and objectives and any relevant ARC policies.
- 12.40. We will notify You of the outcome of a Variation.

Keeping Us informed

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

13. Announcement of grants

- 13.1. If successful, Your grant will be listed on the GrantConnect website 21 calendar days after the date of effect as required by Section 5.3 of the CGRGs.
- 13.2. We may publicise and report offers and grants awarded, including the following information about the project:
 - a. Your name and any other parties involved in or associated with the project;
 - b. named participants and their organisations;
 - c. the research project (the title and summary descriptions);
 - d. classifications and international collaboration country names; and
 - e. the ARC grant funding amount.
- 13.3. You should ensure that information contained in the project title and summary descriptions will not compromise Your requirements for confidentiality (such as protection of intellectual property).

- 13.4. In making public information about a project that has been approved for a grant, We may use a project description, including title and summary, which differs from that provided in the application.

14. How We monitor Your grant activity

- 14.1. We will monitor the grant activities through information You provide to us as outlined in Table 2.

- 14.2. **Table 2:** SRIEAS grant opportunity reporting requirements

Reporting requirements	Applications requesting less than \$1 million per year	Applications requesting \$1 million or more per year
End-of-year-reports	X	X
Progress report by exception	X	X
Annual report		X
Ad hoc performance reviews		X
Final reports	X	X
Information required for other purposes	X	X

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

End of year report

- 14.6. 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, in accordance with the instructions We provide each year. We will make the form for these reports available in RMS, with instructions on the [ARC website](#).

Progress reports by exception

- 14.7. A progress report by exception must be completed as part of the end of year report only if significant issues are affecting the progress of the project.
- 14.8. If We are not satisfied with the progress of any project, further payment of grant funds may not be made until satisfactory progress has been made on the project. If satisfactory progress is still not achieved within a reasonable period of time, the grant may be terminated and all outstanding funding will be recovered by us.

Annual report (\$1 million or more per year)

- 14.9. Annual reports are required if a project is granted \$1 million or more per year.
- 14.10. You must submit an annual report covering both financial operations and research performance for Your project. This report must be submitted to Us by 31 March in the year following each calendar year for which the grant was awarded.
- 14.11. You must report on a range of KPIs specific to the project. KPI targets must be developed by You and submitted for approval by Us within six months of the commencement of the project.

Ad hoc performance reviews (\$1 million or more per year)

- 14.12. If a project is granted \$1 million or more per year We may undertake ad hoc reviews at any time. A review will automatically be triggered in special circumstances, including:
 - a. a change in Project Director;
 - b. significant change in scope or circumstances relating to the program; or
 - c. proposed transfer of the project to a new Administering Organisation.
- 14.13. Reviews may inform whether there is satisfactory progress of the project.
- 14.14. Outcomes and feedback arising from reviews as outlined above may inform any program evaluations and continuation of the project.

Final report

- 14.15. You must submit a final report for the project within 12 months of the final ARC approved project end date. We will make the form for this report available in RMS, with instructions on the [ARC website](#).
- 14.16. The final report must address compliance with the conditions on which funding was granted, as set out in the grant agreement.
- 14.17. You must ensure that all participants have completed all obligations for the final report.
- 14.18. If final reports are not submitted or are not satisfactory to Us this will be considered as an eligibility matter for future ARC applications for the named participants on the project.
- 14.19. We may also seek additional information about subsequent research outputs after submission of the final report.

Compliance visits and record keeping

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

Evaluation

- 14.22. We undertake evaluations of the performance and administration of the grant opportunities under the Linkage Program. Your grant agreement requires You to provide information to help with these evaluations.

Acknowledgement

- 14.23. Subject to commercial sensitivities and intellectual property considerations, the outcomes of projects are expected to be communicated to the research community and to the community at large.
- 14.24. You must ensure that Our contribution and support of the project is acknowledged in a prominent place and a form acceptable to Us.
- 14.25. Advice of acceptable forms of acknowledgement and use of the ARC logo is provided on the [ARC website](#). Any published research output must include acknowledgement of ARC funding and the ARC Project ID.

15. Probity

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

Appeals process

- 15.2. 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.
- 15.3. You are able to submit an appeal against the administrative process used to assess applications. The appeals process is designed to ensure that Your application has been treated fairly and consistently in the context of selection processes.
- 15.4. You must submit an appeal using the ARC Appeals Form on the [ARC website](#) and have it authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 28 days** of the date You receive notification of the outcome of Your application. We will not accept appeals later than 5.00 pm (AEDT/AEST) on the appeals submission due date.
- 15.5. Appeals must be submitted to Us electronically to ARC-NCGP@arc.gov.au.
- 15.6. If You do not agree with the way We have handled Your appeal, You may complain to the Commonwealth Ombudsman. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with Us. The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072

Email: ombudsman@ombudsman.gov.au

Website: www.ombudsman.gov.au

- 15.7. Applicants for funding may at any time seek to appeal Our decisions using available external appeal options. The Administrative Appeals Tribunal does not have general power to review Our decisions.

Conflict of interest

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

Privacy: confidentiality and protection of personal information

- 15.15. 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.
- 15.16. You are required, as part of Your application, to certify Your compliance with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors You engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.
- 15.17. 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.
- 15.18. We may share parts of applications with the AAD to seek advice on the strategic fit of the proposed research with the Australian Antarctic science priority research themes. Where relevant, the AAD will also provide advice to Us on the feasibility of allocation, planning and coordination of Australia's Antarctic logistics support and infrastructure.
- 15.19. The Australian Government may also use and disclose information about grant applicants and grant recipients under the NCGP in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.
- 15.20. We may reveal confidential information to:
- assessors, the SAC and other Commonwealth employees and contractors to help Us manage the program effectively and in accordance with any other provision of these grant guidelines or subsequent grant agreement;
 - the Minister and their staff;
 - employees and contractors of Our entity 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.

- 15.21. 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:
- a. *Crimes Act 1914*;
 - b. *Criminal Code Act 1995*;
 - c. *Privacy Act 1988*;
 - d. *Public Service Act 1999*;
 - e. *Public Service Regulations 1999*; and
 - f. *Public Governance, Performance and Accountability Act (2013)*.
- 15.22. We will treat the information You give Us as sensitive and therefore confidential if it meets one of the four conditions below:
- a. You clearly identify the information as confidential and explain why We should treat it as confidential;
 - b. the information is commercially sensitive;
 - c. revealing the information would cause unreasonable harm to You or someone else;
or
 - d. You provide the information with an understanding that it will stay confidential.
- 15.23. The grant agreement will include any specific requirements about special categories of information collected, created or held under the grant agreement.

Freedom of information

- 15.24. All documents in the possession of the Australian Government, including those about the Linkage Program, are subject to the *Freedom of Information Act 1982* (FOI Act).
- 15.25. 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.
- 15.26. 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

16. Consultation

- 16.1. We consulted with the AAD in developing these grant guidelines.

17. Acronyms

Acronym	Description
AAD	Australian Antarctic Division, Department of the Environment and Energy
ARC	Australian Research Council
ARC Act	<i>Australian Research Council Act 2001</i>
CEO	Chief Executive Officer
CGRGs	<i>Commonwealth Grants Rules and Guidelines</i>
CI	Chief Investigator
FTE	Full Time Equivalent
FOI	Freedom of Information
GST	Goods and Services Tax
HDR	Higher Degree by Research
HECS	Higher Education Contribution Scheme
HELP	Higher Education Loan Program
KPI	Key Performance Indicator
NCGP	National Competitive Grants Program
ORCID	Open Researcher and Contributor Identifier
PI	Partner Investigator
RMS	Research Management System
ROPE	Research Opportunity and Performance Evidence
SAC	Selection Advisory Committee

18. Glossary

18.1. For the purposes of the SRIEAS 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 end date.
active project assessment date	the date on which active project eligibility will be considered for project and application limits per named participant.
Administering Organisation	an Eligible Organisation which submits an application for a grant and which will be responsible for the administration of the grant if the application is approved for funding.
Applicant	the Administering Organisation.
application	a request for funding submitted through RMS by an Administering Organisation seeking grant funding under an ARC grant program. It includes the specifics of a proposed grant activity as well as the administrative information required to determine the eligibility of the application.
ARC assessor community	the Australian and international assessors that assess applications submitted to the ARC that are within their areas of expertise.
ARC College of Experts	the body of experts of international standing appointed to assist the ARC to identify research excellence, moderate external assessments and recommend applications for funding. Its members are specialist and generalist experts in their knowledge fields drawn from the Australian research community. The ARC website provides information on who is a member of the College of Experts.
ARC Project ID	the identifier assigned through RMS when an application is commenced.
ARC website	the website accessed using www.arc.gov.au .
assessment criteria	the specified principles or standards, against which applications will be considered. These criteria are also used to assess the merits of applications and, in the case of a competitive grant opportunity, to determine application rankings.
Australian Antarctic Division (AAD)	The AAD is part of the Australian Government's Department of the Environment and Energy and is responsible for Australia's presence and activities in the Australian Antarctic Territory and the Southern Ocean.
Australian Antarctic Science Strategic Plan	The <i>Australian Antarctic Science Strategic Plan 2011–12 to 2020–21</i> available at Antarctic Science Strategic Plan .

Term	Definition
Australian Antarctic Strategy and 20 Year Action Plan	The <i>Australian Antarctic Strategy and 20 Year Action Plan</i> available at Antarctic Strategy and 20 Year Action Plan
bench fees	fees that an organisation charges for an individual to use infrastructure which would normally be provided by the organisation for their employees. This infrastructure may vary and could include, for example, an office or laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.
Chief Executive Officer	means the person holding the position of ARC Chief Executive Officer in accordance with the ARC Act or any person acting in that position.
Chief Investigator	a participant who satisfies the eligibility criteria for a CI under these grant guidelines.
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.
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 6 of these grant guidelines.
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.
General Assessors	the members that make up a relevant grant opportunity's Selection Advisory Committee. General Assessors utilise knowledge of their disciplinary areas and a broad understanding of intellectual and methodological issues and good research planning. Each application has a lead General Assessor (known as Carriage 1) who is typically close to the academic field of the application, and one or more General Assessors (known as Other Carriages) with supplementary expertise.
grant activity	the project/tasks/services that the grantee is required to undertake. A project consists of a number of grant activities.
grant agreement	the agreement entered into by the ARC and an Administering Organisation when an application from that organisation is approved for grant funding. This was previously referred to as a 'Funding Agreement'.

Term	Definition
grant commencement date	the date on which grant funding may commence.
grant offer	the details listed in the ARC's RMS under 'Funding Offers' showing the project details and grant amount.
GrantConnect	the Australian Government's whole-of-government grants information system, which centralises the publication and reporting of Commonwealth grants in accordance with the CGRGs.
grantee	the Administering Organisation which has been selected to receive a grant.
grant opportunity	the specific grant round or process where a Commonwealth grant is made available to potential grantees. Grant opportunities may be open or targeted, and will reflect the relevant grant selection process.
grant opportunity closing date	the last day on which applications for a grant opportunity will be accepted for consideration for a specific grant opportunity.
grant opportunity opening date	the first day on which applications for a grant opportunity will be accepted for consideration for a specific grant opportunity.
grantee	the Administering Organisation which has been selected to receive a grant.
GST	the meaning as given in Section 195-1 of the <i>A New Tax System (Goods and Services Tax) Act 1999</i> .
Higher Degree by Research (HDR)	a 'Research Doctorate or Research Masters course, for which at least two-thirds of the student load for the course is required as research work' as defined by the <i>Commonwealth Scholarships Guidelines (Research) 2017</i> .
honorary academic 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 e.g. an emeritus appointment. The person would not be considered to hold an honorary academic appointment for the purposes of these grant guidelines if they hold a substantive, paid position elsewhere.
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. We may require these calculations to be audited.

Term	Definition
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 the ARC uses 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, Linkage Industrial Transformation Training Centres, Linkage Projects, Linkage Infrastructure, Equipment and Facilities, Learned Academies Special Projects, Supporting Responses to Commonwealth Science Council Priorities, Special Research Initiatives and other grant opportunities as announced from time to time under the Linkage Program.
medical research	medical research as defined in the ARC <i>Medical Research Policy</i> available on the ARC website.
Minister	the Minister responsible for the administration of the ARC Act.
named participants	individual researchers nominated for particular roles in an application.
national interest	the extent to which the research contributes to Australia's national interest through its potential to have economic, commercial, environmental, social or cultural benefits to the Australian community.
officials	officials of a Commonwealth entity. An official of a Commonwealth entity is an individual who is in, or forms part of the entity (see Section 8 of the PGPA Act).
ORCID Identifier	a persistent digital identifier for an individual researcher available on the ORCID website, www.orcid.org .
Other Eligible Organisation	an organisation listed in Section 4 of these guidelines which is not the Administering Organisation on an application.
other material resources	resources where a monetary value is not relevant or to which it is difficult to assign a monetary value, for example, access to restricted data, samples or documents.
Other Organisation	an organisation that is not an Administering Organisation or Eligible Organisation that contributes to the research project.
participants	all named participants on an application (ie. CIs, PIs, Candidates); 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 under these grant guidelines.

Term	Definition
Partner Organisation	an Australian or overseas organisation, other than an Eligible Organisation, which satisfies the eligibility requirements for a Partner Organisation and is to be a cash and/or in-kind or other material resources contributor to 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 Director	the named participant from the Administering Organisation who is the first-named CI on an application for \$1 million or more per year.
project end date	the expected date that the project activity will be completed and by which all Grant funding will be spent.
Project Leader	the named participant from the Administering Organisation who is the first-named CI on an application for less than \$1 million per year.
recipient	an individual or organisation who has received grant funding from the ARC.
research	<p>for the purposes of these grant guidelines, the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.</p> <p>This definition of research is consistent with a broad notion of research and experimental development comprising “creative 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 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.

Term	Definition
Research Opportunity and Performance Evidence (ROPE)	an ARC policy framework used to consider and assess the quality and research excellence of a named participant within the context of the participant's career and life experiences. One key element is that the assessment process takes into account the quality rather than simply the volume or size of the research contribution.
research output	all products of a research project.
Selection Advisory Committee (SAC)	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	the eligibility criteria and assessment criteria.
selection process	the method used to select potential grantees. This process may involve comparative assessment of applications or the assessment of applications against the eligibility criteria and/or the assessment criteria.
Special Condition	a condition specified in a grant offer which governs the use of the funding provided by the ARC.
stream implementation plans	a key initiative of the Australian Antarctic Science Strategic Plan 2011-12 to 2020-21, these include goals and key research questions under each Australian Antarctic science priority research theme. More information is available at: http://www.antarctica.gov.au/science/australian-antarctic-science-strategic-plan-201112-202021/stream-implementation-plans
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 project, including to foster and strengthen collaborations between researchers in Australia and overseas.
value for money	'value for money' is a judgement based on the grant application representing an efficient, effective, economical and ethical use of public resources determined from a variety of considerations: merit of the proposal, risk, cost and expected contribution to outcome achievement.
Variation of grant agreement (Variation)	a request submitted to the ARC in RMS to agree a change in the Grant agreement.
We	the Australian Research Council (ARC). 'Us' and 'Our' are also used in this context.
You	the Eligible Organisation that submitted the application. 'Your' is also used in this context.