ARC Linkage Projects LP13: major changes

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<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tr>
<td>Scheme opens (est)(ARC)</td>
<td>Mid-September</td>
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<tr>
<td>First draft due for internal review (ITEE)</td>
<td>tba</td>
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<td>LP13 ‘Instructions’ workshop (ITEE/RIS)</td>
<td>tba</td>
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<tr>
<td>Request not to assess deadline (ARC)</td>
<td>31st October</td>
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<td>Internal/RIS deadline</td>
<td>31st October*</td>
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<tr>
<td>External deadline (ARC)</td>
<td>14th November</td>
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<tr>
<td>Deadline for withdrawals (ARC)</td>
<td>6th February 2013</td>
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<td>Outcomes announcement (ARC)</td>
<td>June 2013</td>
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1. Generally the same scheme, significant changes in the detail
2. “Reaffirmation of the rationale of the scheme” [ARC source]
3. “Looking for evidence of genuine integration of research into the PO, at all levels” [ARC source]

4. Objectives:
   • initiate and/or develop long-term strategic research alliances between higher education organisations and other organisations, including industry and end-users, in order to apply advanced knowledge to problems and/or to provide opportunities to obtain national economic, social or cultural benefits;
   • enhance the scale and focus of research in National Research Priorities;
   • foster opportunities for researchers to pursue internationally competitive research in collaboration with organisations outside the higher education sector, targeting those who have demonstrated a clear commitment to high-quality research; and
   • produce a national pool of world-class researchers to meet the needs of the broader Australian innovation system.
1. Research activities supported:
   • “…research and development (R&D) projects which are collaborative between higher education researchers and other parts of the national innovation system, which are undertaken to acquire new knowledge, and which involve risk or innovation.”
   • References to research training removed

2. Research activities not supported: (Refer to FRs §5.4)
   • “Medical and dental research, defined as research and/or training primarily and substantially aimed at understanding or treating a human disease or human health condition. Where a proposal satisfies all other eligibility requirements set out in the Funding Rules, the ARC may support Projects where the primary aim is a commercial outcome in addition to Research and Development and the Project does not include clinical trials.”
1. Greater emphasis on PO/PI involvement in and commitment to project
2. De-emphasis on research training (pre-empting possible shift to another scheme); no specified minimum stipend
3. Removal of ARC [named] fellowships (APDIs, LIFs) … but [un-named] research fellowships not precluded in budget
4. Focus on project and PO involvement and outcomes
5. Major changes to PO: eligibility, contributions etc
6. Revised requirements for PO letter of support
7. Major changes to Partner Investigators: eligibility, involvement etc

8. Many rumours, much misunderstanding
   • Commonwealth, State and Local government (inc agencies) are not precluded, however…
   • Research organisations are also not precluded as POs, however…
9. Compliance checking will be critical: process and timing
Key documents

1. ARC Linkage Projects website:  
2. *Linkage Projects Funding Rules for funding commencing in 2013*  
   • Do not overlook ‘Definitions’
3. *FAQs – including updates*
4. *Instructions to Applicants* (when published)
5. Periodic advice from ITEE/RIS
The basics 1: selection criteria

You should address all Selection Criteria, including all sub-questions (FR §4.3). Refer to Instructions to Applicants when published.

1. Investigators 20%
2. Proposed Project 50% comprising:
   • Significance and Innovation 25%
   • Approach and Training 15%
   • Research Environment 10%
3. Commitment from Partner Organisation 30%

Refer to the highlighted Funding Rules

Note: “Does the Project represent value for money and is the budget justification for Cash and In-kind Contributions adequate?”
1. Funding: minimum $50,000 per year, max $300,000 per year
   • No PhD-only LPs: standard APA ≈$30K per year
2. Duration: min 2 years, max 3 years
3. Budget items supported: (Refer to FRs)
   • No APDIs
   • Domestic and international travel: max $50K over life of project
   • Teaching relief up to $40K per year for project – for all CIs (FAQ)
   • PhD stipend “at appropriate level for Admin Org” ie APA
   • “All eligible direct costs must be justified in the Proposal to the satisfaction of the ARC”
4. Budget items not supported: (Refer to FRs)
   • “bench fees”
   • Costs not directly related to research, including …”patent costs…mobile phones”.
5. Cannot claim any Commonwealth fellowship (basic) salary as ‘in-kind’
1. Duplication
   • “The ARC will not duplicate funding for research, including infrastructure funded by the Commonwealth as at 1 July 2013.”
   • “The Proposal cannot be the same or similar (in whole or in part) to a project described in another current ARC-submitted Proposal.

2. Number of proposals (per CI) and cross-scheme eligibility
   • Max 4 (as CI or APDI), “submitted and/or be funded concurrently… calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding at 1 July 2013 and the number of Proposals submitted for funding commencing 1 July 2013”
   • Please refer to FR §8.1
   • “Applicants should note the eligibility criteria for …other funding schemes, as expressed in the funding rules for those schemes.”
1. “The Administering Organisation or Eligible Organisation(s) must demonstrate a significant contribution of cash, in-kind or other material resources, having regard to the total cost of the Project and the relative contribution of each CI.”

Role of Administering Organisation

- No eligibility exemption requests to ARC
- Admin Org is responsible for determining eligibility
1. Please refer to FR §6.2: changes, simplification and clarification

2. At least one Australian Partner Organisation

3. Overseas higher education institutions and similar can be Partner Organisations (not Admin or Other Organisations); however the proposal must include at least one other Partner Organisation

4. A controlled entity of an Eligible Organisation (ie University) or an entity in which “more than 50 per cent is owned by one or more Eligible Organisations” is ineligible

5. Three critical conditions:
   • evidence of new or on-going collaboration between the Partner Organisation and the Administering Organisation;
   • no duplication of Commonwealth funding for the research and/or activities funded for the Project; and
   • a contribution of cash and/or in-kind or other material resources from each Partner Organisation, having regard to the total cost of the Project and the relative contribution of each PI.
1. Please refer to *FR* §6.3: changes, simplification and clarification
2. All contributions, including in-kind, must be essential and central to the project (evidence provided in budget justification)
3. Two rules:
   • “The Proposal must demonstrate that the combined Partner Organisation(s) eligible contributions for a Proposal (i.e. the total of the cash and in-kind eligible contributions of the Partner Organisations) must at least match the total funding requested from the ARC”
   • “The combined Partner Organisation(s) eligible Cash Contribution must be at least 25 per cent of the total funding requested from the ARC”
4. However…
1. Exclusions:
   • “…funds awarded or appropriated by the Commonwealth or an Australian State or Territory for the purposes of research … [or] previously used to leverage government research funding” cannot be used for PO cash contributions
   • …but note qualifications FR §6.3.6-7 and FAQ(1) §4.3-7
   • Seek advice from RIS

2. Exemptions:
   • Registered charities, NFP community organisations, start-up companies, museums and herbaria exempted from cash contribution requirement
   • “Proposals in which all Partner Organisations are exempt from the Cash Contribution requirements do not have to meet the overall Cash Contribution requirement”
   • […]but not in-kind?]
“Each Partner Organisation’s letter of support must:

- certify that no part of its Cash Contribution is drawn from funds previously appropriated or awarded from Commonwealth or Australian State or Territory sources for the purposes of research;
- demonstrate the source of its Cash Contribution; and
- certify that it will meet the requirements outlined in a standard Funding Agreement, including the requirement to enter into arrangements regarding intellectual property."

- Must be on PO letterhead
- Must be signed by authorised officer of the company
- Template will be available
1. Two roles: Chief Investigator and Partner Investigator – no APDIs

2. An eligible proposal must nominate
   • At least one CI from an Eligible Institution (University); the first named CI [in RMS] must be from the Admin Org and will be the Project Leader;
   • At least one PI from each Partner Organisation

3. All CIs and PIs must satisfy the eligibility criteria as at 1\textsuperscript{st} July 2013 and for the duration of the Project

4. Eligibility criteria for CIs: Refer to \textit{FR} \S 7.2 and \textit{FAQ(1)s} \S 2
   • “an employee for at least half-time (50 per cent of Full Time Equivalent) at one Eligible Organisation”
   • Emeritus, Adjunct or equivalent appointment at an Eligible Organisation listed in Appendix A and not have a substantive paid position elsewhere

5. “The CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others”: recommend \(\geq0.2\text{FTE}\)
Eligibility 4b: PIs

1. There must be at least one PI from each PO (including exempted POs), however…
2. All PIs do not need to be affiliated with a PO
3. PIs cannot “meet the eligibility criteria for a CI”, “be an employee of an Eligible Institution” ie Australian University
4. PIs must:
   • take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results; and/or
   • have the experience and capacity to provide effective supervision, support and mentoring of research personnel associated with the Project; and/or
   • have the relevant skills and experiences to effectively manage a similar scale research Project.
   • have the capacity to make a commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others; recommend ≥0.1FTE
Eligibility 5: consultancy, conflict of interest

1 Consultancy
   • the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s)
   • LP scheme does not support “Projects where one or more Partner Organisation(s) is seeking expert external assistance, not available within their own organisation… which… the ARC deems to be essentially contracted research or a Consultancy arrangement.”

2 Conflict of interest
   • Documented process
   • “A researcher cannot participate as a CI on a Proposal if they hold a position as a Director, Board Member or have a financial interest (salary, contract or equity) in a proposed Partner Organisation for a Project”
1. ITEE Research Development
   • Initial review (EoI)
   • Review/mentor/”buddy’

2. LP13 Funding Rules (highlighted changes)
   LP13 changes summary (handout)
   LP13 Toolkit
   • (Links to)(Very) useful resources
   • Links to previously successful applications

3. LP13 email ‘alerts’

4. Contact either Lynne Elvin or Craig Hill if you need more information, clarification, regarding the *Funding Rules* or other ARC documentation.
1. Reality check:
   - Review all *Funding Rules* and FAQs in the context of your Linkage Project proposal, esp. selection criteria, eligibility of POs/PIs, budget items
   - Preliminary compliance/eligibility check
   - Be “conservative”

2. Discuss changes to Funding Rules with POs/PIs
   - Organise PO letter(s) of support, including new requirements

3. Ensure all CIs and PIs have RMS accounts, personal details updated, publications and grants lists updated (last 5 years)

4. Contact Craig Hill if you need any advice or other help
Q&A