



**Australian Government**

**Department of Education and Training**

# National Collaborative Research Infrastructure Strategy (NCRIS)

## 2018 Guidelines

Opening date:	Not applicable
Closing date and time:	Not applicable
Commonwealth policy entity:	Department of Education and Training
Co-Sponsoring Entities	Not applicable
Enquiries:	If you have any questions, please contact Mr Tony Rothnie, Director, NCRIS Program Management at <a href="mailto:NCRIS@education.gov.au">NCRIS@education.gov.au</a> .
	Questions may be sent at any time.
Date guidelines released:	31 May 2018
Type of grant opportunity:	Restricted non-competitive

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## Introduction

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# 1. NCRIS: NCRIS 2018 Processes

### **The Program is designed to achieve Australian Government objectives**

#### **The Research Infrastructure Investment Plan was announced**

The Government announced in the 2017-18 Budget that a Research Infrastructure Investment Plan (Investment Plan) would be developed. The Investment Plan was developed consultatively by the Department of Education and Training and the Department of Industry, Innovation and Science. It was agreed by the Government and released on 15 May 2018.

The Investment Plan provided further set amounts of funding for the majority of priority projects, and added a number of other projects to NCRIS that are to receive set funding.



#### **PGPA Decisions are made**

Following the Investment Plan's approval and release by the Government, and the approval and release of relevant guidelines, the Department's delegate approves successful grants under Section 23(3) of the *Public Governance, Performance and Accountability Act*.



#### **We notify you of the outcome**

We advise you of your grant.



#### **We enter into a grant agreement (or variation) or a letter of agreement**

We will enter into a grant agreement (or variation) or letter of agreement with grantees. The type of grant agreement is based on the nature of the grant and proportional to the risks involved.



#### **Delivery of grant**

You undertake the grant activity as set out in your grant agreement and these Guidelines. We manage the grant by working with you, monitoring your progress and making payments.

This may take into account changes in priorities following from future National Research Infrastructure Roadmaps and/or Research Infrastructure Investment Plans. Following consultation with you, we may direct you to make changes to the project.



### **Evaluation of NCRIS**

We evaluate the specific grant activity and NCRIS as a whole. We base this on information you provide to us and that we collect from various sources.

## 1.1 About the grant program

These Guidelines set out how Government grants will be distributed from 2017-18 to 2022-23, through a restricted, non-competitive grant process, via the National Collaborative Research Infrastructure Strategy (NCRIS), to priority projects identified by the Government as a result of the Research Infrastructure Investment Plan released in 2018 (Investment Plan), framed by the focus areas in the 2016 Roadmap, namely:

- Digital Data and eResearch Platforms
- Platforms for Humanities, Arts and Social Sciences
- Characterisation
- Advanced Fabrication and Manufacturing
- Advanced Physics and Astronomy
- Earth and Environmental Systems
- Biosecurity
- Complex Biology
- Therapeutic Development.

The Guidelines also allow for Government consideration of future Roadmaps and Investment Plans, on five year and two year cycles respectively.

Through NCRIS, the Government works with the research sector, including universities, Publicly Funded Research Organisations, private companies, to drive research excellence and its application by:

- collaboratively identifying priorities for research infrastructure investment over the coming decade
- catalysing research infrastructure projects that improve research projects by expertly addressing the scope of researcher needs
- addressing related end-user needs, including industry, Government and other end users

- supporting identified priority national research infrastructure projects through the provision of grants for operating and capital expenses, supplemented by contributions from other parties<sup>1</sup>.

NCRIS commenced in 2004-05. NCRIS projects are managed in accordance with the NCRIS Principles at [Appendix A](#).

These Guidelines provide for funding announced for the program<sup>2</sup> to flow through to priority projects. The funding may be:

- as part of the National Innovation and Science Agenda (NISA) (announced in December 2015), under these Guidelines from 1 July 2019
- to replace the supercomputer at the National Computational Infrastructure, announced in December 2017
- as part of the Government's Investment Plan.

Where projects received funding under earlier NCRIS Guidelines, their funding under the NCRIS 2018 Guidelines will complement that funding<sup>3</sup>.

The objectives of the Program are to:

- catalyse and support a national network of research infrastructure projects
- through the network, support high quality research that will drive greater innovation in the Australian research sector and the economy more broadly
- empower Australian researchers to address key national and global challenges and support collaboration between researchers and other end users, such as industry both nationally and internationally.

The expected outcome of the Program is:

- a networked set of national research infrastructure projects that collaboratively, efficiently and effectively address the Government's research infrastructure investment priorities.

Efficiently and effectively addressing the Government's priorities includes:

- offering world-class research infrastructure, in line with
  - the 2016 Roadmap
  - the Investment Plan
  - relevant changes in the needs of researchers over time
  - future investments to deliver the maximum benefit to researchers and to the community, the Investment Plan will be reviewed and reaffirmed every two years to keep investments relevant and in line with research priorities

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<sup>1</sup> A number of projects supported through the 2006 Roadmap remain priorities.

<sup>2</sup> See also Section 2

<sup>3</sup> NCRIS Guidelines to support the operation of priority projects were issue in 2013, 2015, 2016 and 2017.

- offering world-class research infrastructure on an open merit-based access basis where appropriate
- undertaking best practice management and governance activities
- strategically engaging with other research infrastructure providers to ensure the maximum, efficient delivery of complementary or intersecting priority research infrastructure needs.

NCRIS will be undertaken according to the Commonwealth Grants Rules and Guidelines (CGRGs) <https://www.legislation.gov.au/Details/F2017L01097>

The objective of each NCRIS grant is to support a project that, through participation in a national network of national research infrastructure projects, provides world-class research infrastructure to support high-quality research that will drive greater innovation in the Australian research sector and the economy more broadly. Australian researchers will be empowered to address key national and global challenges and support collaboration between researchers and other end users, particularly industry.

Further grants to establish new NCRIS projects may be approved by the Minister for Education and Training following scoping studies and in accordance with future Government Research Infrastructure Investment Plans. The scoping studies will be prepared by independent expert panels, including consultation with all key stakeholders. The Department of Education and Training will ensure the studies adhere to their Terms of Reference.

Further funding for existing projects to address unforeseen and unavoidable costs will be considered and may be approved by the Department of Education and Training in line with internal delegations and funding availability. Factors that will be taken into account include, but are not limited to, cost, co-investment, number of researchers supported and criticality of the item to the operation of a project and significant component of the project.

## 2. Grant amount

These Guidelines cover Australian Government funding of \$1,283.734 million over 6 years (i.e. 2017-18 to 2022-23) for NCRIS. Grants under these Guidelines are in addition to grants awarded under earlier NCRIS Guidelines.

Grants are for identified priority national research infrastructure projects and will be provided to their established lead agents. Grant amounts may comprise funding (refer Appendix B for a year-by-year breakdown):

- from the Investment Plan (\$393.462 million)
- from operating funding for NCRIS projects provided through the National Innovation and Science Agenda (\$820.273 million)
- to replace the National Computational Infrastructure's supercomputer (\$70 million).

Details of these initiatives are set out in [Appendix B](#).

Project-by-project capital and operating grants for projects as a direct result of the Government's response to the 2016 Roadmap and consideration of the Investment Plan are set out in [Appendix C](#).

The grants for Projects comprise the following amounts:

- if the project is to receive ongoing operational support using NISA funding, annual amounts available are indexed each financial year.
- specific amounts for capital for research infrastructure renewal identified in the Investment Plan
- specific additional, one-off operational funding identified in the Investment Plan.

There are no minimum or maximum grant amounts.

Grantees are required to provide a contribution towards the grant activities/project and seek other contributions. While there is no specific minimum level of other contributions to be achieved, it is expected other contributions will approach 50 per cent of the grant for each project and be above 25 per cent of the grant for each project.

Your project cannot extend past 30 June 2023 (see Section 1.1).

Grants will be paid to each project's lead agent (see [Appendix C](#)).

## 3. Eligible grant activities

### 3.1 What can the grant money be used for?

Costs need to relate to the provision of research infrastructure, which is defined in the 2016 Roadmap<sup>4</sup> as:

...[comprising] the nationally significant assets, facilities and services to support leading-edge research and innovation. It is accessible to publicly and privately funded users across Australia and internationally.

You will propose, and we will agree or amend, how the funds will be used on an annual basis through planning and reporting processes.

Funding under these NCRIS 2018 Guidelines will be provided from 2017-18 to 2022-23 to:

- provide funding certainty to proponents to fund specific national research infrastructure projects and secure co-investment, and subsequently, either
  - continuation of one year in anticipation of further funding, or
  - wind-down period of one year to ensure there is no detrimental effect on researchers<sup>5</sup>.

You must use the NCRIS grant (including interest earned on the grant and user income) for the following activities:

- operational activities for eligible research infrastructure, including technical personnel to operate the infrastructure
- maintenance of eligible research infrastructure, which may include routine replacement of equipment and plant at the end of its useful life
- capital funding for national research infrastructure facilities
- management, governance and administration activities required to ensure NCRIS 2018 projects are undertaken in an efficient, effective and accessible manner
- increased engagement with and between research infrastructure providers, researchers, industry, government and other end users of research both domestically and internationally with a particular emphasis on increasing use of NCRIS-funded research infrastructure
- scoping activities required to effectively investigate potential new NCRIS projects, either those identified in Investment Plans or as otherwise determined by the Minister for Education and Training
- project wind-up for any project identified for defunding
- other, single cost activities that enhance the research infrastructure openly accessible by Australian researchers. Examples might include international access or membership fees.

You can use the grant to pay for:

- operation, management and governance costs
- salaries and on-costs for technical staff
- infrastructure maintenance
- infrastructure upgrades
- utilities
- rent
- consumables
- international travel and engagement
- industry and end user engagement, outreach activities
- other agreed expenses necessary for the proper functioning of the national research infrastructure project (excluding activities in Section 4.2).

You can only spend grant funds on eligible grant activities as defined in the grant details in your grant agreement.

We may update the guidelines on eligible expenditure from time to time. These updates will not be applied retrospectively. Revised Guidelines will be made available on GrantConnect.



## 3.2 What the grant money cannot be used for?

NCRIS grants (including interest and user income) from any NCRIS funding program (i.e. 2013, 2015, 2016, 2017 and 2018) **must not** be used to:

- in any way to support approval, compliance or other activities associated with Commonwealth Property Management Framework and/or Two-Stage-Capital Works processes
- support NCRIS project Lead Agent administrative activities that are not directly applicable to, and additionally incurred for the operation of the project, unless the Lead Agent's primary role is the management of an NCRIS project. Specifically, this includes costs such as enterprise information technology, human resources, accounting, legal overheads, depreciation or other routine expenses for universities or publicly funded research agencies.  
For the purpose of clarity, any general 'administrative charge' (however calculated) not supported by evidence of services being provided, or the like is excluded.
- indirect costs of researchers using NCRIS infrastructure, namely researcher travel and accommodation expenses
- specific, identifiable costs already supported by the Government. In any relevant reports provided to the Department of Education and Training, you should detail any other Australian Government funding provided or committed, or research infrastructure so funded included in your project. For example, NCRIS should only meet residual unmet costs associated with research infrastructure funded in whole or in part by the Australian Research Council's Linkage Infrastructure, Equipment and Facilities program.

## 4. The grant selection process

Grants were selected by the Government through a two year process which culminated in its consideration of its response to the 2016 Roadmap and Investment Plan.

This process has comprised two key steps:

- development of the 2016 Roadmap to determine ongoing priorities across the research sector
  - funding to replace the NCI supercomputer was identified as an urgent action in the 2016 Roadmap
- development of the Investment Plan, encompassing Government consideration and determination of additional grants.

## ***Priorities and grants identified in the 2016 Roadmap***

The 2016 Roadmap identifies priority research infrastructure for the coming decade in nine areas<sup>6</sup> that will underpin research in which Australia can and needs to excel, to deliver long term national benefit and foster strategic international partnerships.

The methodology established by the NCRIS 2017 Guidelines to provide base operational funding (from NISA) for priority projects will continue. Consequently, the 24 Roadmap priority projects will continue to receive base operational funding. [Appendix C](#) sets out specific funding amounts for these projects.

Australia's associate membership of the European Molecular Biology Laboratory was also identified as a priority and the annual associate membership fee will continue to be met for the period of these Guidelines.

The Government separately announced capital funding of \$70.0 million to replace the National Computational Infrastructure's supercomputer to be provided through NCRIS.

## ***Priorities and grants identified in the Research Infrastructure Investment Plan***

The Investment Plan was announced in the 2018-19 Budget. It has been developed by the department and the Department of Industry, Innovation and Science, in collaboration with Innovation and Science Australia, and the Commonwealth Science Council.

Development of the Investment Plan also took into account the substantial information provided for the 2016 Roadmap, as well as separately sought costing information.

Factors taken into account in deciding grant amounts included:

- alignment with the 2016 Roadmap
- alignment with Government policy priorities
- urgency of capital refresh needs.

The Investment Plan provided the following Roadmap priority projects with set capital funding and set additional operating funding:

- Astronomy (i.e. Australian Telescope National Facility)
- Atlas of Living Australia
- AuScope
- AURIN
- Australian Microscopy and Microanalysis Research Facility
- Australian National Data Service (as the eResearch Project)
- Australian National Fabrication Facility
- Australian Phenomics Network
- Australian Plant Phenomics Facility
- Bioplatforms Australia

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<sup>6</sup> See Section 1

- Integrated Marine Observing System
- National Deuteration Facility
- National eResearch Collaboration Tools and Resources (as the eResearch Project)
- National Imaging Facility
- Nuclear Science Facility
- Population Health Research Network
- Research Data Services (as the eResearch Project)
- Terrestrial Ecosystem Research Network
- Translating health discoveries into clinical applications

Several further projects were identified for set grants:

- CSIRO's National Collections Building
- the Marine National Facility

These projects will receive the set amount to 30 June 2022.

[Appendix C](#) sets out specific funding amounts.

## 5. Timing

See Table 1 for expected timing.

**Table 1: Expected timing for this grant opportunity**

Activity	Timeframe
Terms of Reference for 2016 Roadmap announced, subsequent consultations	from March 2016
2016 Roadmap presented to Government	February 2017
Investment Plan announced, subsequent consultations	from 9 May 2017
2016 Roadmap released	12 May 2017
NCI funding announced	18 December 2017
Release of Investment Plan	15 May 2018
Release of NCRIS 2018 Guidelines	31 May 2018
Advice to grantees	TBC
Negotiations and award of grant agreements or variations	By 8 June 2018
Activity associated with new funding commences	On execution of grant agreement or variation
Continuing priority projects provide implementation plan	By 13 June 2018 (unless another date is mutually agreed for a project)

Activity	Timeframe
New priority projects provide Establishment Plan	By 20 June 2018 (unless another date is mutually agreed for a project)
Period of guaranteed full operations (where appropriate) ceases	30 June 2022
Following new Roadmap and Investment Plan, either: <ul style="list-style-type: none"> <li>• Period to renegotiate arrangements</li> <li>• Transition period</li> </ul>	1 July 2022 to 30 June 2023
End date	30 June 2023

## 5.1 Further grant opportunities

Further grant opportunities may arise during future Research Infrastructure Investment Plan or National Research Infrastructure Roadmap activities. These opportunities are to ensure future investments deliver the maximum benefit to researchers and to the community and keep investments relevant and in line with research priorities.

The next Research Infrastructure Investment Plan is expected to be developed during (calendar) 2019. The next National Research Infrastructure Roadmap is expected to be developed in (calendar) 2021.

These processes will involve public consultation and all interested parties will be encouraged to participate through activities such as direct approaches, media releases, use of social media (such as tweets from the Department of Education and Training), linking to established media and communications activities of stakeholders, and GrantConnect.

## 6. Who will approve grants?

Key steps in the approval of grants are:

- inclusion in the 2016 Roadmap, which was determined by the Expert Working Group led by Australia's Chief Scientist
- inclusion in the Investment Plan and response, which was determined by the Government through the Department of Education and Training and the Department of Industry, Innovation and Science
- *Public Governance, Performance and Accountability Act* (PGPA) Section 23(3) approval of Grant amounts will be by the Group Manager, Research and Economic Group, Department of Education and Training (or equivalent). This will encompass, as set out in Section 4:
  - the Investment Plan funding

- operating funding for NCRIS projects provided through the 2015 National Innovation and Science Agenda
- funding to replace the National Computational Infrastructure's supercomputer.

## 7. Notification of outcomes

Grantees will be advised of their grant by e-mail by an appropriate officer of the Department of Education and Training, such as the Branch Manager, Research and Higher Education Infrastructure Branch, Research and Economic Group.

## 8. Grants

### 8.1 The grant agreement

Grantees must enter into a legally binding grant agreement with the Commonwealth represented by the Department of Education and Training. The Department of Education and Training will use the *Commonwealth Standard Grant Agreement* (see <https://www.grants.gov.au/?event=public.documentLibrary.list>) for new projects, or a grant agreement variation for continuing projects. Standard terms and conditions for any new grant agreement will apply and cannot be changed. A schedule may be used to outline the specific grant requirements. Any additional conditions attached to the grant will be identified in the grant offer or during the grant agreement (or variation) negotiations.

You will be required to report on activities relevant to your project's performance, as well as activities relevant to NCRIS' performance. Reports may include:

- Implementation Plans
- Establishment Plans
- Annual Business Plans (See Appendix D)
- Project Reports
- Project Outputs and Outcomes
- Annual National Research Infrastructure Censuses
- NCRIS User satisfaction surveys
- Reports on support for quality research

The Department of Education and Training will negotiate agreements or variations with grantees by 8 June 2018. **If there are unreasonable delays in finalising** a grant agreement or variation, the grant offer may be withdrawn.

Where a grantee fails to meet the obligations of the grant agreement, the Department of Education and Training may take any action allowed under the agreement for the project.

You should not make financial commitments until a grant agreement has been executed by the Commonwealth.

## 8.2 How the grant will be paid

The grant agreement will state the maximum grant amount to be paid.

We will not exceed the maximum approved grant amount under any circumstances. If you incur extra eligible expenditure, you must pay it yourself or secure the funding from another party.

We will make payments progressively based on your progress reports, taking into account your actual and proposed eligible expenditure.

## 8.3 Grant agreement variations

We recognise that unexpected events may affect the progress of a project. In these circumstances, you can request a project variation, including:

- changing project milestones
- extending the timeframe for completing milestones, but not beyond 30 June 2023
- amending activities to best meet the objectives of the 2016 Roadmap and/or Investment Plan.

If you want to propose changes to the grant agreement, you must put them in writing before the grant agreement end date. Contact [NCRIS@education.gov.au](mailto:NCRIS@education.gov.au) for further information. We will not consider changes after the grant agreement end date.

You should not assume that a variation request will be successful. We will consider your request based on factors such as:

- how it affects the project outcome
- consistency with the program policy objective and any relevant policies of the Department of Education and Training
- changes to the timing of grant payments
- availability of program funds.

## 9. Announcement of grants

Grants will be listed on the GrantConnect website 28 calendar days after the date of effect<sup>7</sup>, as required by Section 5.3 of the *CGRGs*.

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<sup>7</sup> See glossary

# 10. Delivery of grant activities

## 10.1 Your responsibilities

You must submit reports in line with the timeframes in the grant agreement. We will provide sample templates for these reports in the grant agreement. The sample templates may change from time-to-time. We will expect you to report on:

- progress against agreed project milestones
- contributions of participants directly related to the project
- eligible expenditure of grant funds
- other activities relevant to the effective and efficient conduct of your project.

You will be responsible for:

- the delivery of the project
- conducting the project in line with the NCRIS Principles at [Appendix A](#)
- working collaboratively with the Department of Education and Training, your project partners and other NCRIS projects, to identify strategically important gaps in Australia's national research infrastructure and implement agreed actions to address those gaps
- meeting the terms and conditions of the grant agreement and managing the activity efficiently and effectively
- complying with record keeping, reporting and acquittal requirements as set out in the grant agreement
- participating in a grant program evaluation as specified in the grant agreement
- dealing fairly with the Department of Education and Training and other stakeholders, including governance and management partners and project participants and subcontractors
- consulting with relevant stakeholders, particularly governance and management partners and project participants and subcontractors.

## 10.2 Relevant Commonwealth entity's responsibilities

The Department of Education and Training will:

- meet the terms and conditions set out in the grant agreement
- provide timely administration of the grant
- evaluate the grantee's performance
- deal fairly with Lead Agents and their nominated representatives
- conduct the development, implementation and administration of NCRIS 2018, including application of the eligibility criteria and determining funding allocations
- undertake project or program-level evaluations
- promote the NCRIS program

- support the implementation of the Government’s response to the 2016 Roadmap and Investment Plan.

We will monitor the progress of your project by assessing reports you submit and may conduct site visits to confirm details of your reports if necessary. Occasionally we may need to re-examine claims, seek further information or request an independent audit of claims and payments.

## 10.3 Grant payments and GST

Payments will be made as set out in the grant agreement. Where appropriate, payments will be GST inclusive.

If you receive a grant, you should consider speaking to a tax advisor about the effect of receiving a grant before you enter into a grant agreement. You can also visit the Australian Taxation Office website at [www.ato.gov.au](http://www.ato.gov.au) for more information.

## 10.4 Evaluation

The Department of Education and Training will evaluate the NCRIS program to measure how well the outcomes and objectives have been achieved. Your grant agreement requires you to provide information to help with this evaluation. At a minimum, information sought will include the following categories:

- Effectiveness of financial, administrative and governance arrangements
- Infrastructure use and other output measures
- Impacts of all types, including outreach, industry and international engagement, and, where appropriate, commercial outcomes.

## 10.5 Acknowledgement

The Program logo is designed to be used on all materials related to grants under the Program. Whenever the logo is used the publication must also acknowledge the Commonwealth as follows:

‘NCRIS – an Australian Government initiative’.

All promotional publications related to grants under the Program must acknowledge the Commonwealth as follows:

‘This activity received grant funding from the Australian Government through the National Collaborative Research Infrastructure Strategy.’



# 11. Probity

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

**Note:** These guidelines may be changed from time-to-time by the Department of Education and Training. When this happens the revised guidelines will be published on the GrantConnect website at [education.gov.au](http://education.gov.au).

## 11.1 Complaints process

All complaints about a grant process must be lodged in writing.

Any questions you have about grant decisions for the Program should be sent to [NCRIS@education.gov.au](mailto:NCRIS@education.gov.au).

If you do not agree with the way the Department of Education and Training has handled your complaint, you may complain to the Commonwealth Ombudsman. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with the Department of Education and Training.

The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072  
Email: [ombudsman@ombudsman.gov.au](mailto:ombudsman@ombudsman.gov.au)  
Website: [www.ombudsman.gov.au](http://www.ombudsman.gov.au)

## 11.2 Conflict of interest

Any conflicts of interest could affect the performance of the grant. There may be a conflict of interest, or perceived conflict of interest, if the Department of Education and Training's staff, any member of a committee or advisor and/or you or any of your personnel:

- has a professional, commercial or personal relationship with a party who is able to influence the selection process, such as an Australian Government officer
- has a relationship with an organisation relationship with, or in, an organisation, which is likely to interfere with or restrict the grantees from carrying out the proposed activities fairly and independently or
- has a relationship with, or interest in, an organisation from which they will receive personal gain because the organisation receives funding under the Program.

You will be asked to declare any perceived or existing conflicts of interest or that, to the best of your knowledge, there is no conflict of interest.

If you later identify that there is an actual, apparent, or potential conflict of interest or that one might arise in relation to a grant, you must inform the Department of Education and Training in writing immediately. Committee members and other officials including the decision maker must also declare any conflicts of interest.

The chair of the Assessment Committee will be made aware of any conflicts of interest and will handle them as set out in Australian Government policies and procedures. Conflicts of interest for Australian Government staff will be handled as set out in the Australian Public Service Code of Conduct (Section 13(7)) of the *Public Service Act 1999*. We publish our conflict of interest policy available on the Department of Education and Training website.

## 11.3 Privacy: confidentiality and protection of personal information

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
- who we give your personal information to

You are required, as part of your application, to declare your ability to comply with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors you engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.

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.

The Australian Government may also use and disclose information about grant applicants and grant recipients under the Program in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.

We may reveal confidential information to:

- the committee and other Commonwealth employees and contractors to help us manage the program effectively
- employees and contractors of our department 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
- the responsible Minister or Parliamentary Secretary
- a House or a Committee of the Australian Parliament.

We may share the information you give us with other Commonwealth agencies for any purposes including government administration, research or service delivery and according to Australian laws, including the:

- *Public Service Act 1999*
- *Public Service Regulations 1999*
- *Public Governance, Performance and Accountability Act*
- *Privacy Act 1988*
- *Crimes Act 1914*
- *Criminal Code Act 1995*

We will treat the information you give us as sensitive and therefore confidential if it meets all of the four conditions below:

1. you clearly identify the information as confidential and explain why we should treat it as confidential
2. the information is commercially sensitive
3. revealing the information would cause unreasonable harm to you or someone else
4. you provide the information with an understanding that it will stay confidential.

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

## 11.4 Freedom of information

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

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.

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

By mail:           Freedom of Information Coordinator  
                       Schools, Child Care and Corporate Legal Branch  
                       Location Code: C50MA10 - LEGAL  
                       GPO BOX 9880  
                       CANBERRA ACT 2601

By email:         FOI@education.gov.au

## 12. Consultation

The Government's response to the 2016 Roadmap and consideration of the Investment Plan took into account nearly 500 written submissions and consultations with over 580 stakeholders.

The Department of Education and Training also consults with projects in the existing NCRIS network on project and program improvements.

## 13. Glossary

assessment criteria	The specified principles or standards against which applications will be judged. These criteria are also used to assess the merits of proposals and, in the case of a competitive granting activity, to determine applicant rankings. (as defined in the CGRGs)
commencement date	The expected start date for the grant activity.
completion date	The expected date that the grant activity must be completed and the grant spent by.
date of effect	This will depend on the particular grant. It can be the date in which a grant agreement is signed or a specified starting date. Where there is no grant agreement, entities must publish information on individual grants as soon as practicable. CGRGs
decision maker	The person who makes a decision to award a grant.
eligibility criteria	The principles, standards or rules that a grant applicant must meet to qualify for consideration of a grant. Eligibility criteria may apply in addition to assessment criteria. (CGRGs)
Commonwealth entity	A Department of State, or a Parliamentary Department, or a listed entity or a body corporate established by a law of the Commonwealth. See subsections 10(1) and (2) of the PGPA Act.
cost shifting	Involves 'substitution of effort' by the Commonwealth for activities of another organisation or level of government. For example, cost shifting occurs where the Commonwealth provides a grant for an activity that would usually be paid for by a state, territory, or local government, such as municipal services. (CGRGs)
grant	a grant is an arrangement for the provision of financial assistance by the Commonwealth or on behalf of the Commonwealth: a) under which relevant money or other CRF money, is to be paid to a recipient other than the Commonwealth; and b) which is intended to assist the recipient achieve its goals; and c) which is intended to help address one or more of the Australian Government's policy objectives; and

	<p>under which the recipient may be required to act in accordance with specified terms or conditions.</p> <p>CGRGs section 2.3</p>
grant activity	Is the project /tasks /services that the Grantee is required to undertake with the grant money. It is described in the Grant Agreement. (Proposed definition in the grants taxonomy)
grant agreement	Grant agreement means the contract template used by Australian Government entities to set out the mutual obligations relating to the provision of the grant. The Australian Government is standardising and streamlining grant agreements between the Commonwealth and grant recipients to allow grant recipients to engage more easily and efficiently with the Commonwealth. (CGRGs)
grant opportunity	A notice published on GrantConnect advertising the availability of Commonwealth grants. (Proposed definition in the grants taxonomy)
grant program	May be advertised within the 'Forecast Opportunity' (FO) section of GrantConnect to provide a consolidated view of associated grant opportunities and provide strategic context for specific grant opportunities
grantee	An individual/organisation that has been awarded a grant. (Proposed definition in the grants taxonomy)
lead agent	The non-departmental party to an NCRIS grant agreement
PBS Program	Described within the entity's Portfolio Budget Statement, PBS programs each link to a single outcome and provide transparency for funding decisions. These high level PBS programs often comprise a number of lower level, more publicly recognised programs, some of which will be Grant Programs. A PBS Program may have more than one Grant Program associated with it, and each of these may have one or more grant opportunities
selection criteria	Comprise eligibility criteria and assessment criteria. (CGRGs)
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. (CGRGs)

# Appendix A: NCRIS Principles

The key principles underpinning NCRIS are that:

- Australia's investment in research infrastructure should be planned and developed with the aim of maximising the contributions of the research and development system to foster innovation, economic development, national security, social wellbeing and environmental sustainability
- infrastructure resources should be focussed in areas where Australia is, or has the potential to be, world-class (in both discovery and application driven research) and provide international leadership
- major infrastructure should be developed on a collaborative, national, nonexclusive basis. Infrastructure funded through NCRIS should serve the research and innovation system broadly, not just the host/funded institutions. Funding and eligibility rules should encourage collaboration and co-investment. It should not be the function of NCRIS to support institutional level (or even small-scale collaborative) infrastructure
- access is a critical issue in the drive to optimise Australia's research infrastructure. In terms of NCRIS funding there should be as few barriers as possible to accessing major infrastructure for those undertaking meritorious research, including the use of preferential arrangements for meritorious researchers
- due regard be given to the whole-of-life costs of major infrastructure, with funding available for operational costs where appropriate
- NCRIS should seek to enable the fuller participation of Australian researchers in the international research system
- NCRIS should enable Government initiatives which seek to maximise opportunities for industry and international engagement and commercialisation of research
- data generated, created, captured or stored by NCRIS funded projects will be made available to the wider research community based on the F.A.I.R. principles, appropriately implemented for individual research communities. Data must be stored to an appropriate level of security
- new projects, and additional investment in existing projects, should be based on a robust business case.

## Appendix B: Funding sources for these Guidelines

The Australian Government has allocated the following funding for NCRIS (subject to future indexation):

- NISA funding
  - 2018-19: \$156.213 million
  - 2019-20: \$159.962 million
  - 2020-21: \$163.641 million
  - 2021-22: \$167.732 million
  - 2022-23: \$171.925 million
- funding to replace the supercomputer at NCI of \$70 million
  - 2017-18: \$69.200 million
  - 2018-19: \$0.800 million
- funding in the Government's response to the 2016 Roadmap following consideration of an Investment Plan
  - 2017-18: \$199.217 million
  - 2018-19: \$5.459 million
  - 2019-20: \$25.644 million
  - 2020-21: \$76.439 million
  - 2021-22: \$86.703 million



## Appendix C: Grants awarded by these Guidelines (\$, GST excl.)

<b>Project</b> • <b>Lead Agent</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>2021-22</b>	<b>2022-23</b>
Astronomy • Astronomy Australia Ltd • Base operating • Additional operating • Capital (ATNF - ASKAP)	\$- \$- \$-	\$- \$- \$550,000	\$9,494,945 \$- \$253,000	\$9,732,318 \$- \$256,000	\$9,975,626 \$- \$260,000	\$10,225,017 \$- \$-
Atlas of Living Australia • CSIRO • Base operating • Additional operating • Capital	\$- \$- \$480,000	\$- \$- \$-	\$5,057,078 \$- \$-	\$5,183,505 \$- \$513,384	\$5,313,093 \$- \$1,074,364	\$5,445,920 \$- \$-
AuScope • AuScope Ltd • Base operating • Additional operating • Capital	\$- \$- \$740,000	\$- \$- \$-	\$8,001,297 \$- \$-	\$8,201,330 \$- \$395,734	\$8,406,363 \$- \$405,627	\$8,616,522 \$- \$-
Australian Animal Health Laboratory • CSIRO • Base operating • Additional operating • Capital	\$- \$- \$-	\$- \$- \$-	\$1,595,952 \$- \$-	\$1,635,851 \$- \$-	\$1,676,747 \$- \$-	\$1,718,666 \$- \$-

Australian Microscopy and Microanalysis Facility <ul style="list-style-type: none"> <li>• University of Sydney               <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>	\$- \$- \$12,080,000	\$- \$290,734 \$-	\$3,912,344 \$304,293 \$-	\$4,010,152 \$342,099 \$598,948	\$4,110,406 \$361,265 \$394,664	\$4,213,166 \$- \$-
Australian National Fabrication Facility <ul style="list-style-type: none"> <li>• Australian National Fabrication Facility Ltd               <ul style="list-style-type: none"> <li>• [Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>	\$- \$- \$28,438,200	\$- \$399,211 \$-	\$13,392,212 \$885,751 \$-	\$13,727,017 \$1,280,573 \$1,497,799	\$14,070,193 \$2,139,052 \$1,594,443	\$14,421,947 \$- \$-
Australian Phenomics Network <ul style="list-style-type: none"> <li>• Australian National University               <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>	\$- \$- \$1,813,982	\$- \$- \$-	\$4,797,548 \$- \$-	\$4,917,486 \$- \$149,449	\$5,040,424 \$- \$156,249	\$5,166,434 \$- \$-
Australian Plant Phenomics Facility <ul style="list-style-type: none"> <li>• University of Adelaide               <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>	\$- \$- \$2,206,820	\$- \$- \$-	\$4,040,494 \$- \$-	\$4,141,506 \$- \$151,609	\$4,245,044 \$- \$203,307	\$4,351,170 \$- \$-
Australian Urban Research Infrastructure Network <ul style="list-style-type: none"> <li>• University of Melbourne               <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>	\$- \$- \$3,555,500	\$- \$- \$-	\$2,284,085 \$- \$-	\$2,341,187 \$- \$1,540,688	\$2,399,717 \$- \$2,318,652	\$2,459,710 \$- \$-
Bioplatforms Australia <ul style="list-style-type: none"> <li>• Bioplatforms Australia Ltd               <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>	\$- \$675,000 \$30,614,520	\$- \$689,175 \$-	\$15,172,312 \$1,600,928 \$-	\$15,551,620 \$1,836,452 \$4,145,578	\$15,940,410 \$2,091,125 \$6,438,617	\$16,338,921 \$- \$-

eResearch Project (ANDS, Nectar & RDS) <ul style="list-style-type: none"> <li>• Monash University, University of Melbourne &amp; University of Queensland               <ul style="list-style-type: none"> <li>• Base operating \$-</li> <li>• Additional operating \$1,267,996</li> <li>• Capital \$44,483,325</li> </ul> </li> </ul>							
				\$21,237,360	\$21,768,294	\$22,312,501	\$22,870,314
		\$1,294,623		\$2,717,673	\$2,849,684	\$2,993,950	\$-
		\$-		\$-	\$8,091,564	\$8,501,199	\$-
Heavy Ion Accelerators <ul style="list-style-type: none"> <li>• Australian National University               <ul style="list-style-type: none"> <li>• Base operating \$-</li> <li>• Additional operating \$-</li> <li>• Capital \$-</li> </ul> </li> </ul>							
				\$1,712,256	\$1,755,062	\$1,798,939	\$1,843,913
		\$-		\$-	\$-	\$-	\$-
		\$-		\$-	\$-	\$-	\$-
Integrated Marine Observing System <ul style="list-style-type: none"> <li>• University of Tasmania               <ul style="list-style-type: none"> <li>• Base operating \$-</li> <li>• Additional operating \$1,181,657</li> <li>• Capital \$10,232,060</li> </ul> </li> </ul>							
				\$16,872,476	\$17,294,288	\$17,726,645	\$18,169,811
		\$1,206,472		\$2,661,696	\$2,646,041	\$2,766,437	\$-
		\$-		\$-	\$682,067	\$668,803	\$-
Marine National Facility <ul style="list-style-type: none"> <li>• University of Tasmania               <ul style="list-style-type: none"> <li>• Base operating \$-</li> <li>• Additional operating \$5,703,000</li> <li>• Capital \$1,600,000</li> </ul> </li> </ul>							
				\$-	\$-	\$-	\$-
		\$5,703,000		\$7,285,000	\$5,843,000	\$5,924,000	\$-
		\$1,600,000		\$1,600,000	\$1,600,000	\$1,600,000	\$-
National Computational Infrastructure <ul style="list-style-type: none"> <li>• Australian National University               <ul style="list-style-type: none"> <li>• Base operating \$-</li> <li>• Additional operating \$-</li> <li>• Capital \$69,200,000</li> </ul> </li> </ul>							
				\$5,913,206	\$6,061,037	\$6,212,562	\$6,367,877
		\$800,000		\$-	\$-	\$-	\$-
				\$-	\$-	\$6,303,664	\$-
National Deuteration Facility <ul style="list-style-type: none"> <li>• ANSTO               <ul style="list-style-type: none"> <li>• Base operating \$-</li> <li>• Additional operating \$-</li> <li>• Capital \$-</li> </ul> </li> </ul>							
				\$655,826	\$672,222	\$689,028	\$706,253
		\$-		\$-	\$-	\$98,536	\$-
		\$-		\$-	\$-	\$50,000	\$-

<b>National Imaging Facility</b> <ul style="list-style-type: none"> <li>• University of Queensland <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>							
	\$-	\$-	\$3,217,749	\$3,298,193	\$3,380,648	\$3,465,164	
	\$802,300	\$819,148	\$2,489,757	\$3,096,048	\$3,521,893	\$-	
	\$35,203,000	\$-	\$-	\$4,186,007	\$3,445,912	\$-	
<b>Nuclear Science Facility (ACNS and CAS)</b> <ul style="list-style-type: none"> <li>• ANSTO <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>							
	\$-	\$-	\$7,099,940	\$7,277,438	\$7,459,374	\$7,645,859	
	\$-	\$-	\$-	\$55,905	\$404,371	\$-	
	\$-	\$-	\$-	\$-	\$6,738,000	\$-	
<b>Pawsey Supercomputing Centre</b> <ul style="list-style-type: none"> <li>• CSIRO <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>							
			\$6,226,582	\$6,382,246	\$6,541,802	\$6,705,347	
	\$-	\$-	\$-	\$-	\$-	\$-	
	\$-	\$-	\$-	\$-	\$-	\$-	
<b>Population Health Research Network</b> <ul style="list-style-type: none"> <li>• University of Western Australia <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>							
	\$-	\$-	\$4,689,859	\$4,807,105	\$4,927,283	\$5,050,465	
	\$-	\$-	\$658,929	\$687,566	\$718,851	\$-	
	\$2,026,912	\$-	\$-	\$140,539	\$123,692	\$-	
<b>Translating health discovery (Therapeutic Development)</b> <ul style="list-style-type: none"> <li>• Therapeutic Innovation Australia Ltd <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>							
	\$-	\$-	\$4,000,649	\$4,100,665	\$4,203,182	\$4,308,261	
	\$-	\$-	\$4,171,443	\$4,521,975	\$4,839,973	\$-	
	\$12,012,711	\$-	\$-	\$1,214,142	\$2,551,216	\$-	
<b>Terrestrial Ecosystem Research Network</b> <ul style="list-style-type: none"> <li>• University of Queensland <ul style="list-style-type: none"> <li>• Base operating</li> <li>• Additional operating</li> <li>• Capital</li> </ul> </li> </ul>							
	\$-	\$-	\$6,508,727	\$6,671,445	\$6,838,231	\$7,009,187	
	\$-	\$-	\$-	\$-	\$-	\$-	
	\$3,500,000	\$-	\$-	\$-	\$1,644,434	\$-	

European Molecular Biology Laboratory associate membership <ul style="list-style-type: none"> <li>European Molecular Biology Laboratory</li> <li>Associate membership fee</li> </ul>	\$-	\$-	\$5,800,000	\$5,900,000	\$6,000,000	\$6,100,000
Access <ul style="list-style-type: none"> <li>Australian National University</li> <li>Scoping Study</li> </ul>	\$200,000	\$-	\$-	\$-	\$-	\$-
National Environmental Prediction Service <ul style="list-style-type: none"> <li>University of Queensland</li> <li>Scoping Study</li> </ul>	\$200,000	\$204,200	\$-	\$-	\$-	\$-
Synthetic Biology <ul style="list-style-type: none"> <li>Bioplatforms Australia Ltd</li> <li>Scoping study</li> </ul>	\$200,000	\$-	\$-	\$-	\$-	\$-
Biobanks <ul style="list-style-type: none"> <li>Lead agent to be determined by DET</li> <li>Scoping Study</li> </ul>	\$-	\$-	\$-	\$213,910	\$219,258	\$-
Biosecurity <ul style="list-style-type: none"> <li>Lead agent to be determined by DET</li> <li>Scoping study</li> </ul>	\$-	\$-	\$-	\$213,910	\$219,258	\$-
Optimising the value of High Performance Computing through enhanced model performance <ul style="list-style-type: none"> <li>Lead agent to be determined by DET</li> <li>Scoping study</li> </ul>	\$-	\$-	\$-	\$213,910	\$219,258	\$-
Humanities, Arts and Social Science + Platforms for Indigenous Research <ul style="list-style-type: none"> <li>Lead agent(s) to be determined by DET</li> <li>Scoping study/studies</li> </ul>	\$-	\$-	\$-	\$427,820	\$438,516	\$-

Precision measurement						
• Lead agent to be determined by DET						
• Scoping study	\$-	\$-	\$-	\$-	\$219,258	\$-
National Collections						
• CSIRO						
• Base operating	\$-	\$-	\$-	\$-	\$-	\$-
• Additional operating	\$-	\$-	\$-	\$-	\$-	\$-
• Capital	\$-	\$-	\$1,000,000	\$27,000,000	\$15,000,000	\$-

# Appendix D: Annual Business Plan Template

The purpose of the Annual Business Plan is to provide a succinct summary of the activities for any given year. It is expected that the business plan will be no more than ten pages, not including attachments.

Each annual business plan must include:

- (i) an outline of governance and management arrangements
- (ii) an outline of the project's strategic direction
- (iii) proposed changes, and progress with agreed changes, to:
  - better address the 2016 National Research Infrastructure Roadmap
  - address other identified issues
- (iv) other proposed changes
- (v) descriptions of each of the project's major components
- (vi) descriptions of linkages to other NCRIS projects and actual or planned mechanisms to increase coordinated delivery of services to researchers
- (vii) a plan for industry and/ or other end user engagement
- (viii) a minimum of one target performance measure and associated achievement level for each project component
- (ix) a risk management strategy
- (x) a summary of expected expenses for each major component:
  - operation, management and governance costs
  - salaries and on-costs for technical staff
  - infrastructure maintenance
  - infrastructure upgrades
  - utilities
  - rent
  - consumables
  - international travel and engagement
  - industry and end user engagement, outreach and earnings
  - other (including a description).
- (xi) an overall accounting for the total funding provided under NCRIS including interest, co-investment (cash and in-kind), and user fees/charges, showing the amounts to be used for major components and the amounts allocated to smaller projects.
- (xii) a summary of future developments of research infrastructure relevant to the project, and how the project plans to engage with those developments.

If any confidential information is provided, it is to be clearly identified as such and presented in a separate attachment.

## DECLARATION

I confirm that the information in this report is true and correct to the best of my knowledge following due investigation.

..... [Day] / [Month] / [Year]

Signed

.....

Name

.....

Position