

## ARC LINKAGE - INFRASTRUCTURE EQUIPMENT AND FACILITIES (LIEF) - 2023

### INSTRUCTIONS FOR COMPLETING THE NOTIFICATION OF INTENTION TO APPLY (NOI)

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Please note that the NOI is indicative, and subject to change once the ARC announces the LIEF2023 scheme guidelines, LIEF 2023 Calendar

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#### 1. The *Early* Expression of Interest

The LIEF early EOI is an *informal* expression of your interest submit an application for the 2023 round and is required in *addition* to a full NOI (see below). This EOI is a high-level summary and will form part of a consolidated list of all infrastructure being requested via LIEF across all NSW/ACT universities, both to identify strategic collaboration opportunities early and allow for timely feedback to researchers where necessary.

**You are only required to submit an early EOI if UNSW is the lead organisation.**

We recognise that not all details will be in place for the *early* EOI date, hence only minimal information is required at this stage. Deadline for the early EOI is **November 22, 2021**

You can submit an early EOI via a central [online form \(click here\)](#)

***Important: This EOI does not replace a full, formal Notice of Intent (NOI). You will still need to complete a full NOI to obtain approval for financial and in-kind support for your bid (due Feb 4 2022).***

## 2. The Notice of Intent (NOI)

The LIEF Notification of Intention to Apply (NOI) is a *formal* application to the University for financial and in-kind support for your LIEF application.

NOI details are also shared among Universities to ensure that all inter-institutional commitments are documented and approved before final LIEF applications go to the ARC.

All of the information required for the NOI is essential for the main LIEF application. Developing the NOI also ensures that key issues have been addressed in good time.

## 3. Overview of the NOI process

UNSW Researchers intending to apply for an ARC LIEF grant (through UNSW or as part of a bid led by another Institution) commencing in 2023 ***must*** complete and submit a NOI, using the forms contained in the Excel.

One NOI is required per application and the lead UNSW CI is responsible for coordinating its preparation and submission.

Notifications of Intention to Apply will be reviewed by the UNSW Pro-Vice-Chancellor (Research Infrastructure) and relevant Heads of Schools/Departments/Faculties. Research Grants and Contracts (RGC) will seek PVC(RI) and Head of School/Department/Faculty approvals at the NOI stage. Lead CIs will then be notified of the outcome of this approval process. Once approved, the ARC application process can proceed.

Note that each University has its own NOI process, rules for matching funds and deadlines (many of which are earlier than UNSW). For bids led by UNSW, the lead CI is also responsible for ensuring that the application is submitted through the equivalent NOI process at *each* of the collaborating institutions.

After the NOI deadline date, RGC will collate the information provided in the NOIs, and submit by email to PVC(RI) for approval. This information will also be provided by email to relevant Deans and Heads of Schools/Department for formal approval, however, they should already be informally aware of the proposed bid and related commitments. Formal email approvals will be accepted by RGC.

Lead CIs will be notified by email of the success or otherwise of their request for Central and Local commitments.

## 4. The NOI forms

The NOI submission comprises four spreadsheets as detailed below, plus lead UNSW CI email certification and signature.

*Detailed instructions for each Sheet are provided at Appendix A 'Step-by-Step Instructions'.*

### **Sheet 1: Costing your project**

This sheet should only be completed for ARC applications that will be led by UNSW.

This sheet identifies detailed costings of the project in Year 1 only (or longer if you are submitting a multi-year LIEF application). Do not include ongoing costs beyond this period (this information is captured in Sheet 4).

This sheet should be completed first. Data entered in this sheet will autopopulate some cells in Sheet

## Sheet 2: MIA table.

The aim of this table is to assist you with negotiating and determining Funding distributions.

## Sheet 3: ARC application details.

This sheet represents the intended contents of the LIEF application to be submitted to the ARC. It also represents a request for UNSW Central and School/Faculty funding, as *UNSW's contribution to the LIEF application*, should it be successful.

**It is important you have conversations with each of your Head of School, Client Facilities Manager, Faculty IT Manager, OHS coordinator and Strategic Procurement contact to discuss local requirements and costs before completing this sheet.**

## Sheet 4: Post project costs

This sheet should only be completed for ARC applications that a) will be led by UNSW, or b) led by another Institution, but some equipment will be housed at UNSW, or where UNSW will be responsible for ongoing management or operational costs.

Completion of this sheet ensures that all post-award costs associated with local (School/Faculty/Department) space requirements, risk assessment and resource support for equipment to be housed at UNSW that you cannot include in the ARC application have been taken into consideration, and approved by relevant Heads, should the application be successful. It should not include any costs that will be included in the ARC budget request.

## Sheet 5: Submission Instructions

### Email certification (by lead UNSW CI)

Completed NOIs are to be submitted by the lead UNSW CI as an email attachment to [pvcresin@unsw.edu.au](mailto:pvcresin@unsw.edu.au) by **Friday 4 February 2022**. Subject line and workbook filename should be 'LIEF23 NOI\_[Lead University]\_[UNSW lead CI surname].xlsx'

When submitting the NOI, UNSW lead CIs are required to indicate their acceptance of the below certification by copying and pasting the following statement in the body of the email, which should also include the lead UNSW CIs email signature:

"I certify to the best of my knowledge that the details provided in this LIEF NOI and any supporting documentation are correct and comply with ARC LIEF Funding Rules. I have consulted with relevant Heads of Schools/Department and Deans, and sought informal approval of any cash or in-kind commitments as outlined in this NOI. I undertake to update and submit a new NOI should any changes occur.

*[For applications where equipment will be housed at UNSW, regardless of lead Organisation, please add:]* I have read, understand, and agree to comply with, all the UNSW Policies and Guidelines, particularly the purchasing and OH&S policies relating to any equipment to be housed at UNSW.

*[For UNSW led applications only, please add:]* I confirm that no CIs will be named on more than two ARC LIEF applications this year. All CIs are aware of and comply with the Cross Scheme eligibility rules."

## **LE23 Site, Services and Installation Sign off with Checklist**

### **Separate word document**

This checklist is to be submitted with the NOI workbook, it is to ensure that a location has been specified for the housing of the equipment proposed and that all major costs are approved.

It is required for all applications where equipment will be housed at UNSW (whether led by UNSW or another institution). It is not required for national facility projects or projects using only standard IT facilities (projects requiring new IT infrastructure to be set up must complete the checklist).

If there are unresolved space or installation issues at the time of NOI submission, please submit a draft checklist to assist with the review process. LIEF grant submission will *not* be allowed unless these issues have been resolved.

## **5. Planning and Financial Inputs for the NOI stage of the LIEF application**

4.1 All equipment to be housed on UNSW premises must be in accordance with UNSW Policies and Guidelines particularly those relating to Procurement, OHS and Purchasing and the UNSW Code of Conduct.

4.2 When seeking quotes for equipment, make sure the quote is as complete as possible. Ensure that it includes the full cost of the equipment to be fully installed and commissioned.

4.3 The MIA Table provided at Sheet 2 is designed to assist you with negotiating and determining Funding distributions between contributing organisations and the ARC.

4.4 UNSW Policy on the total UNSW cash contribution to LIEF 2023 applications (ie contributions identified in Sheet 3)

4.4.1 UNSW may decide to provide 100% cash contribution from UNSW Central if the project is based at UNSW (i.e. if UNSW is selected as the administering institution).

4.4.2 UNSW contribution for the ARC LIEF 2023 applications submitted via another institution (i.e. where UNSW is not the administering institution) will be made up of 75% from UNSW central funds and 25% from Faculty/School funds.

4.5 Lead CIs should have conversations with all relevant Heads of Schools/Departments and/or Deans seeking their approval of any cash and/or in-kind commitments identified at sheets 2 and 3 before submitting the completed workbook to RGC. The RGC will then provide a report to the PVC(RI) and all relevant Heads of Schools/Departments and/or Deans seeking their formal sign-off/approval of any cash and/or in-kind commitments identified in the Workbook.

4.6 Lead CIs are responsible for ensuring that all CIs who will be named on the application consent to their participation. For UNSW led applications, we suggest you commence this process as soon as CIs and contributions are confirmed. These signed certifications must be provided to the RGC before an application can be submitted to the ARC.

4.7 Where UNSW is the Lead Institution, it is important to make sure that a CI from each collaborating Institution is identified to take responsibility for ensuring their Institution's NOI is submitted as per their Institution's requirements. Some Universities have different rules for matching funds and may have earlier NOI deadlines/requirements.

## 6. Where to go for help

### 5.1 Contacts

**LIEF co-ordinator:** Alper Yasar, Project Officer, Office of the Pro-Vice Chancellor (Research Infrastructure). 9065 6189 | [s.yasar@unsw.edu.au](mailto:s.yasar@unsw.edu.au) | [pvcesin@unsw.edu.au](mailto:pvcesin@unsw.edu.au)

#### **Strategic and Editorial Advice:**

Grainne Moran, PVC Research Infrastructure. 9385 4642 | [g.moran@unsw.edu.au](mailto:g.moran@unsw.edu.au) | [pvcesin@unsw.edu.au](mailto:pvcesin@unsw.edu.au)

Luc Betbeder-Matibet (Research Technology Services). 9385 1216 | [luc@unsw.edu.au](mailto:luc@unsw.edu.au)

#### **Strategic Procurement**

<https://www.fin.unsw.edu.au/services/buying>

[procurement@unsw.edu.au](mailto:procurement@unsw.edu.au)

#### **RECS – Research Ethics and Compliance**

See <https://research.unsw.edu.au/recs> for contacts for advice on specific areas of compliance

#### **School / Faculty advice and space allocation**

Where significant re-allocation or re-configuration of existing space, or Faculty-level financial and/or strategic support for refurbishment is required for a major project, please consult your Head of School/Centre and the General Manager or Infrastructure Manager for your Faculty.

Where new space allocation is involved, you will *also* require University-level approval. You will need to discuss any new space requirements with your area manager / EM Business Partner early in the process to ensure the proper approvals are sought.

#### **Estate Management**

For services infrastructure works, contact your local EM Business Partner, or James Green (Senior EM Business Partner) | [james.green@unsw.edu.au](mailto:james.green@unsw.edu.au)

#### **Workplace Health and Safety**

Contact your Faculty's Health Safety Environment Coordinator in the first instance, <https://safety.unsw.edu.au/contacts>

### 5.2 Documentation

#### **WH&S**

- <https://safety.unsw.edu.au>

#### **UNSW Policies and Procedures**

- Code of conduct <https://www.gs.unsw.edu.au/policy/codeofconduct.html>
- Fraud Policy <https://www.gs.unsw.edu.au/policy/fraudpolicy.html>

## Appendix A: Step-by-step instructions for completing the NOI spreadsheets

### Sheet 1: Costing your Project

The aim of this table is to assist you with determining the total capital cost of equipment. Please note: **The spreadsheet can only be amended in the yellow cells.**

<b>ITEM 1 Name:</b>	<b>TARDIS</b>
<b>Equipment Purchase Cost</b>	
Quotes must be obtained or a rationale provided if only one supplier is available. Please provide details below	
	<b>Costs</b>
	\$400,000
<b>Installation costs</b>	
These will often be provided by the supplier. Please provide details below	
	<b>Costs</b>
	\$25,000
<b>Site Costs</b>	
Be careful to include only the costs relating to this equipment - any costs that upgrade the site generally will be regarded as indirect costs to be met by the University. Please provide details below	
	<b>Costs</b>
	\$30,000
<b>Staff Costs</b>	
Include here the costs of personnel who are involved in commissioning the equipment and who are not named Cis. Please provide details below	
	<b>Costs</b>
	\$75,000
<b>Other Costs</b>	
Include here transportation costs, manuals, one-off data costs etc. Please provide detail below	
	<b>Costs</b>
	<b>Total Costs</b>
	<b>\$530,000</b>

<b>ITEM 2 Name:</b>	<b>Darlek</b>
<b>Equipment Purchase Cost</b>	
Quotes must be obtained or a rationale provided if only one supplier is available. Please provide details below	
	<b>Costs</b>
	\$150,000
<b>Installation costs</b>	
These will often be provided by the supplier. Please provide details below	
	<b>Costs</b>
	\$10,000
<b>Site Costs</b>	
Be careful to include only the costs relating to this equipment - any costs that upgrade the site generally will be regarded as indirect costs to be met by the University. Please provide details below	
	<b>Costs</b>
	\$5,000
<b>Staff Costs</b>	
Include here the costs of personnel who are involved in commissioning the equipment and who are not named Cis. Please provide details below	
	<b>Costs</b>
	\$35,000
<b>Other Costs</b>	
Include here transportation costs, manuals, one-off data costs etc. Please provide detail below	
	<b>Costs</b>
	<b>Total Costs</b>
	<b>\$200,000</b>

## Sheet 2: MIA (LIEF Contributions) Table

The aim of this table is to assist you with negotiating and determining Funding distributions.

SHEET 1 should be completed before completing SHEET 2 (ARC application details), as fields in Sheet 2 are linked and will auto-populate.

### SHEET 1: MIA (LIEF CONTRIBUTIONS TABLE) - Example

				DETAILS OF NON-ARC FUNDING DISTRIBUTION				
Column A	Column B	Column C	Column D	Column E	Column F	Column G	Column H	Column I
Organisation Name (UNSW first)	Equipment to be purchased and located at named organisation	Capital cost of equipment	Requested amount from ARC distributed by organisation	Total Non-ARC Cash contribution contributed by each organisation	Final distribution of non-ARC cash	Non-ARC Cash paid to Administering Org'n by Collab. / Partner Org'n	Non ARC-cash distributed to Collab/Partner Org	Named organisation in-kind contribution
UNSW	TARDIS	530,000	360,000	100,000	170,000	n/a	n/a	
USYD	Darlek	200,000	100,000	100,000	100,000	0		10,000
ANU	n/a	0	0	20,000	0	20,000		5,000
UWA	n/a	0	0	50,000	0	50,000		5,000
	n/a	0						
	n/a							
<b>TOTALS</b>		<b>730,000</b>	<b>460,000</b>	<b>270,000</b>	<b>270,000</b>	<b>70,000</b>	<b>0</b>	<b>20,000</b>

**Scenario:** UNSW will end up with one piece of equipment (TARDIS), and USYD will end up with one piece of equipment (Darlek). Two other Universities (ANU and UWA) will contribute cash and in-kind. This will require ANU and UWA to pay UNSW their contribution, and it has been decided that USYD will keep their contribution at USYD. This will require UNSW as administering organisation to seek approval from the ARC to allow USYD to retain their \$100,000. UNSW therefore ends up receiving \$70,000 from ANU and UWA, and giving \$100,000 of ARC funds to USYD. USYD spends its ARC and own funds to buy its equipment. Column F shows where the non-ARC funding has ended up.

## Guide to completing Sheet 2 column by column

Please note: **The spreadsheet can only be amended in the yellow cells. Red Flags indicate the cells that need to be reconciled before submission.**

Column No.	Column Title	Instructions
A	Organisation Name	<b>STEP 1:</b> Choose the partners in your application. Enter the lead Organization first (cell A1). List all remaining organisations in cells A1 to A21
B	Equipment to be purchased and located at named organisation	<b>STEP 2:</b> What equipment will be purchased and held at the organisations named in Column A? You may enter more than one piece of equipment for each organisation (please separate with commas or semi colons)
C	Capital cost of equipment	<b>STEP 3:</b> Enter the total cost of equipment for each organisation.
D	Requested amount from ARC distributed by organisation	<b>STEP 4: This question relates to requested ARC funding ONLY.</b> How will the total ARC request be distributed between each of the named organisations? TOTAL of Column D (D21) should reflect the total ARC funds to be requested. Funding rules to consider: a) The minimum level of funding which will be provided by the ARC for a Project under this LIEF funding round is a total of \$150,000 per calendar year for all items requested in each calendar year. b) As a general rule, the maximum level of funding which will be provided by the ARC for a Project is 75 per cent of the total cost (please see Funding Policy S6 for more detail)
E	Total Non-ARC Cash contribution contributed by each organisation	<b>STEP 5: This question relates to requested non-ARC funding ONLY.</b> How much of the remainder of the cost of the equipment (ie non-ARC funds) do you want each institution to contribute (including lead organisation)? TOTAL of Column E (E21) should reflect the total non-ARC funds to be requested.
<b>Note that the TOTAL Column C must equal Column D (total) + Column E (total) (ie total ARC and Non-ARC funding). If this condition is not met, cells C21, D21 and E21 will be RED</b>		
F	Final distribution of non-ARC cash	<b>STEP 6:</b> How much does each Institution need in addition to the ARC funds to cover the cost of the equipment? <i>These amounts will be automatically calculated for you</i>

Column No.	Column Title	Instructions
<p><b>Note that the TOTAL of Column E should equal the TOTAL of Column F. If this condition is not met, cells E21 and F21 will be RED</b></p>		
G	<p>Non-ARC Cash paid to Administering Org'n by Collab. / Partner Org'n</p>	<p><b>STEP 7:</b> How much of the Collaborating Partner's cash contribution will be paid to the Administering organisation? Please note, this question does not apply to the Administering Organisation. Note that in most cases all funds are paid to the Administering Organisation. NOTE that the <b>Total of Column G</b> should equal <b>(F1-E1)</b>. If this condition is not met, <b>G21 &amp; E1</b> will be <b>RED</b>.</p>
H	<p>Non ARC-cash distributed to Collab/Partner Org</p>	<p><b>STEP 8:</b> Note: this is rare and requires ARC approval. Please contact GMO for advice. Please enter 0 for each Organization if this question does not apply to your application. Please note, this question does not apply to the Administering Organisation</p>
I	<p>Named organisation in-kind contribution</p>	<p><b>STEP 9:</b> How much will each organisation contribute as in-kind?</p>

## Sheet 3: LIEF NOI (ARC Application Details) Table

The sheet can only be amended in the **yellow and pink cells**.

The information entered in this sheet should represent a summary of the intended contents of the LIEF application to be submitted to ARC. It also represents a request for Central and School/Faculty UNSW funding, as a contribution to the LIEF application, should it be successful.

- A breakdown of UNSW Faculty and School contributions (both cash and in-kind) ***must*** be provided.
- A breakdown of support from collaborating institutions ***must*** be provided. Written commitment to provide funds should be obtained from these partner organisations.
- It is recognised that some partnerships with collaborating organisations may not be finalised by the November 16<sup>th</sup> deadline. In particular the list of contributing CIs and in some cases the non-ARC cash contributions may still be under negotiation. You nevertheless should submit the NOI by the deadline, with a note added (at Sheet 3 Q19), to indicate if a significant aspect of the proposal is still to be finalised.

### **UNSW Policy on the total UNSW cash contribution to LIEF 2023 applications** (ie contributions identified in Sheet 3)

- UNSW may decide to provide 100% cash contribution from UNSW Central if the project is based at UNSW (i.e. if UNSW is selected as the administering institution).
- UNSW contribution for the ARC LIEF 2023 applications submitted via another institution (i.e. where UNSW is not the administering institution) will be made up of 75% from UNSW central funds and 25% from Faculty/School funds.

## Sheet 4: Post Project Costs

The sheet can only be amended in the **yellow cells**.

This sheet should only be completed for ARC applications that

- i. will be led by UNSW, or
- ii. led by another Institution, but some equipment will be housed at UNSW.

Only capture here ongoing costs of the project after Year 1 (don't capture Year 1 here as these costs will be part of your LIEF proposal and are identified in Sheet 3).

All equipment to be housed on UNSW grounds must be in accordance with UNSW Policies and Guidelines particularly those relating to Procurement, OHS and Purchasing and the UNSW Code of Conduct.

This section ensures that the facilities, infrastructure or additional expenditure required to support the equipment are available or can be provided by Schools in which they will be housed.

Note that central funding is not routinely provided for these costs. The Head of School and/or Dean, in signing off on the LIEF application, is committing to meeting such costs should the ARC fund the item.

**It is important you have conversations with each of your Head of School, Client Facilities Manager, Faculty IT Manager, OHS coordinator and Strategic Procurement contact to discuss local requirements and costs before completing this sheet.**

For each item to be housed at UNSW, please complete as appropriate, relating to:

**Location Details:** The availability of on-going space to house/operate the equipment requested.

**IT & Computing:** Any IT infrastructure or related computing costs associated with the item of equipment that will not be/are ineligible to be included in the ARC budget request (Sheet 2).

**Maintenance:** The on-going (annual) maintenance and technical staff requirements. You will need to specify how these costs will be covered, including any service support costs from third party providers, consumables and spare parts. (Other examples of on-going costs may include calibration, certification, licences etc).

**OH&S Compliance:** The OHS and Risk Assessment requirements for the design (including location), manufacture, importation, supply, installation/erection, commissioning, use, maintenance, alteration, dismantling, storage and disposal of the equipment have been taken into account. You will need to discuss these issues with the relevant OHS coordinator. To help you start this process, a checklist is available at <https://safety.unsw.edu.au/procedures-forms>

**Staff Costs:** Outline ongoing annual operating costs - technicians; administrators; etc

**Other Costs:** Any other costs that will be incurred on an ongoing basis as a result of this LE23 project

## Sheet 5: Submission Instructions

### Email certification (by lead UNSW CI)

Completed NOIs are to be submitted by the lead UNSW CI as an email attachment to [pvcresin@unsw.edu.au](mailto:pvcresin@unsw.edu.au) by **4 February 2022**. Subject line and workbook filename should be 'LIEF23 NOI\_[Lead University]\_[UNSW lead CI surname].xlsx'

When submitting the NOI, UNSW lead CIs are required to copy and paste the following statement in the body of the email, which should also include the lead UNSW CIs email signature:

"I certify to the best of my knowledge that the details provided in this LIEF NOI and any supporting documentation are correct and comply with ARC LIEF Funding Rules. I have consulted with relevant Heads of Schools/Department and Deans, and sought informal approval of any cash or in-kind commitments as outlined in this NOI. I undertake to update and submit a new NOI should any changes occur.

[For applications where equipment will be housed at UNSW, regardless of lead Organisation, please add:] I have read, understand, and agree to comply with, all the UNSW Policies and Guidelines, particularly the purchasing and OH&S policies relating to any equipment to be housed at UNSW.

[For UNSW led applications only, please add:] I confirm that no CIs will be named on more than two ARC LIEF applications this year."

If you are missing some information, you must still ensure that you submit by the deadline of **4 February 2022**. This ensures the approval process can commence. Once finalised, you should re-submit a completed NOI.

If there are any changes to your NOI after it is submitted or approved, you should resubmit a new NOI.

Please ensure you include in your email signature the following details:

- Title and Name
- Centre and Faculty
- E-mail address
- Telephone numbers (landline and mobile)