



Energy and Infrastructure Clusters Tactical Research Project Proposals *Guidelines for Applicants*

Key Dates

Call Open: 09 May 2016

Call Closes: 06 June 2016

Successful applicant announcement: Week starting 20 June 2016

How to Apply

For queries and to apply email research@australiaindonesiacentre.org and request access to submit proposal online. Provide the first name, last name, institution and email address of person who will complete the online proposal form.

For information relating to AIC Energy Cluster contact:

energy@australiaindonesiacentre.org

For information relating to AIC Infrastructure Cluster contact:

infrastructure@australiaindonesiacentre.org

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1 TACTICAL RESEARCH FUND

Tactical Research Fund Allocation

Each project proposal should be to the value of between \$20,000 and \$100,000 AUD.

Tactical Research Project Description

These are Research projects that aim to bring unique and innovative ideas to AIC Research Clusters that were not identified in the cluster planning process. The tactical research projects must be complementary to the strategic areas of the cluster. The cluster leads will define the areas that they would like to see addressed but not define the research method, process or procedure to reach those outcomes.

The Tactical Research Projects will generally provide research outputs which inform end users of future developments, opportunities and innovations. End-users are research participants and/or recipients of research findings, and may include policy or government decision-makers, industry stakeholders or communities.

Tactical Research Project Period

Up to 18 months.

Projects are expected to commence by 1 August 2016 and be completed by 31st January 2018 with a final publishable report due 31 March 2018.

Tactical Research Project Criteria

AIC RESEARCH INVESTMENT PRINCIPLES

Applicants for AIC Tactical Research Project Funding should be familiar with the AIC's aims and objectives and make note of the Research Investment Principles in applying for funding:

- demonstrate potential to deliver outputs and outcomes with mutual benefits to Indonesia and Australia - moving to achieve the AIC research goal of shared solutions to shared challenges;
- align to one or more of the AIC's key priorities; energy, infrastructure, food & agriculture, resilient communities and/or health & medicine;
- align to the approved Cluster Plan goal, objectives and deliver outputs which include preparation of high quality publishable and other research products;
- utilise the AIC investment in research to attract additional and ongoing support for a collaborative research agenda;
- be delivered through a collaborative partnership involving at least one Australian and one Indonesian research partners;
- engage the input of academic leadership and primary expertise from the existing Australian and Indonesian AIC partners;
- demonstrate potential to build research capacity and the capacity to utilise the outputs of research; and demonstrate the involvement of key stakeholders and end users of research results in the research process.

AIC CLUSTER TACTICAL RESEARCH SELECTION CRITERIA

The Tactical Research Projects will be funded by each Research Cluster on behalf of the AIC and will be based on the key areas of challenge identified in the Cluster Investment Plans (CLIP). Applicants are therefore encouraged to discuss their proposal with the cluster lead to ensure their proposal fits with the cluster priorities.

Tactical Research Projects will be competitive and proposals will be assessed against:

- complementarity of the topic to the cluster priorities (listed below);
- appropriateness of the proposed research methodologies to attaining the proposed outcomes;
- level of innovation and uniqueness of the approach;
- appropriateness of the proposed collaboration arrangements to support the research methodologies;
- demonstration that conflicts of interest are limited;
- appropriateness of the budget expenditure to best achieve the proposed research objectives in line with the AIC budget guidelines;
- capacity to mobilise the research team quickly to ensure realisation of impact within the 2016-2018 timeframe
- capacity to leverage the funding to attract external support (cash or in-kind)
- capacity to contribute to the cluster and work towards sustainability of the cluster beyond 2018.

Project proposals that integrate across the clusters and their priorities will be considered favourably.

The purpose of the TRP, in addition to providing for highly targeted research activity in support of the cluster, is to broaden the source of innovation across all participating institutions which can potentially contribute to the achievement of the cluster goal. Therefore proposals from institutions that are not leads or co-leads of clusters will be considered favourably.

AIC CLUSTER PRIORITIES

Tactical Research Project proposals must be aligned with a particular Cluster's strategic aims and objectives and complement rather than duplicate existing investment. The priorities for each cluster are:

AIC Energy Cluster

Cluster Priorities

1. To provide evidence-based solutions to rapidly and affordably decarbonising the Indonesian and Australian energy systems
2. develop solutions to ensuring equitable and affordable access to sustainable energy
3. To enhance infrastructure, institutional and human capacity to support the implementation of sustainable energy policies

Strategic Research Funded

The cluster has funded research activities in the following areas:

1. Microgrid integration into the system planning process
2. Microgrid Design and Operation

3. Social and Regulatory Policy Projects
4. Indonesian Energy Technology and Resource Assessment

Complementary challenges

The Energy Cluster is seeking proposal tackling the following complementary challenges.

- Energy Education
- Modelling in support of policy and regulation
- Social and policy research aimed at enhancing adoption of Cluster research outputs
- Development of new technologies consistent with the Cluster's micro-grid and renewable energy objectives

AIC Infrastructure Cluster

Cluster Priorities

1. Enable integrated development of portal cities faced by both Australia and Indonesia's growing maritime sectors.
2. Establish resilient and efficient portal transport to and from the Ports.
3. Deliver integrated solutions which address social and environment demands in areas of rapid development and transitioning land use.
4. Deliver pertinent and fundamental research questions for the next phase of research beyond the three year funding period.

Strategic Research Funded

The cluster has funded research activities in the following areas:

1. Connectivity – From Sea to Rail, Sea to Road, Road to Rail
2. Seismic Performance of Critical Infrastructures in Port Development
3. Efficient Facilitation of Major Infrastructure Projects
4. Changing the Landscape of Rail through Advanced Asset Health Monitoring Systems – A Novel Method to Increase the Resilience of Track Infrastructure

Complementary challenges

The Infrastructure Cluster is seeking proposal tackling the following complementary challenges.

- Transport efficiency and new technologies
- Improvement in asset management of critical infrastructure
- Infrastructure governance, policy and finance
- Streamlining processes for infrastructure: social, environmental, procurement, land management
- Disaster management and mitigation

Conditions of funding

The TRP proposal meets the requirements of the AIC Investment Principles

The TRP proposal meets the requirements of the key priorities of the relevant Cluster

The Australian and Indonesian Principal Investigators have attached a letter of endorsement for the project from their respective Head of Department or institutional research office official.

Additional eligibility requirements

AIC Cluster Tactical Research Projects will conform with the definition of research and related research activities as set out under the Australian Education Department's Higher Education Research Data Collections (HERDC) specifications (see Section 1.3.10

http://docs.education.gov.au/system/files/doc/other/2014herdcspecifications_education_settings_included.pdf)

AIC Cluster Tactical Research Project Applicants/Principal Investigators will need to demonstrate a level of prior experience in supervising projects of this type and scale. Prior experience in delivery international collaborative research or demonstrated capability in delivery of projects with an equivalent level of complexity will be expected.

Project Diversity and Opportunity

Cluster Tactical Research Project Principal Investigators are asked to ensure they can demonstrate how their overall planning has considered diversity and opportunity for participation. For example, in some cases teams may need to actively address gender participation and transparent processes for nomination of project participants.

A balance of experienced and early career researchers is strongly encouraged in project teams. The roles, recognition and remuneration (as appropriate) for Research Higher Degree students who actively participate and contribute to the project outcomes must be demonstrated by the project leads.

Tactical Research Project Applicant Criteria

Principal Investigators

AIC Tactical Research Projects must be led by a principal investigator from each country, ie one from Indonesia and one from Australia.

One principal applicant must be an employed academic staff member (at least 40% full time equivalent*) at one of the five (5) participating institutions in Australia; Australia National University, CSIRO, Monash University, University of Melbourne or University of Sydney.

The other principal applicant must be an employed academic staff member (at least 40% full time equivalent) from one of the seven (7) participating institutions in Indonesia; Institut Pertanian Bogor, Institut Teknologi Bandung, Institut Teknologi Sepuluh Nopember, Universitas Airlangga, Universitas Gadjah Mada, Universitas Hasanuddin, Universitas Indonesia.

The Principal Applicant cannot be the principal investigator of a Cluster Strategic Research Project.

Co-applicants

Proposals with co-applicants from two additional AIC Partner Institutions - ie one in Australia and one in Indonesia – will be considered favourably.

Co-applicants will be employed academic staff members of their respective institutions (at least 40% full time equivalent.) They will be based at institutions other than those of the Principal Applicants.

The AIC encourages applicants to consider collaborating with partner institutions who have partnerships with institutions outside of the partner institutions where/if this assists in bringing specialist or particularly innovative knowledge/skills/facilities to the research project team.

Other Project Participants

Project participants are not a requirement for AIC Tactical Research Projects. Teams are encouraged to propose project participants.

Where project participants are included in a proposal they should be:

Academics from any Institution in Australia or Indonesia employed at 40% Full-time Equivalent (FTE) or employed academics from other recognised higher education institutions (HEIs) in Australia and Indonesia who bring specific expertise of direct relevance to the proposed project. They may be from institutions already represented in the project team.

Please consult the AIC if you wish to have RHD (Research Higher Degree) students considered as project participants as further advice can be provided in relation to the << AIC's RHD Cohort Leadership Program for these participants (in development) >>.

2 AIC CLUSTER GOVERNANCE AND ROLES

The following section provides information about the existing AIC Research Cluster program so that each Tactical Research Project applicant understands the governance arrangements that will be applicable to their project team.

The roles and responsibilities of the AIC, the cluster leads, co leads and coordinators can be found in the AIC Research Management Handbook. As a general rule, all finance, legal, contractual administration duties and progress reporting will be administered by the AIC office based at Monash University.

All *research quality assurance* will be the responsibility of the cluster leads with the support of their institutions. Each Tactical Research Project will be associated with a cluster upon award.

Cluster Program and Projects Coordination / Management

AIC Research Cluster Leads are responsible for supporting alignment across the Cluster's Research Projects using a portfolio approach. The Research Cluster will appoint a Cluster Coordinator / Manager to support communications and project development in relation to Cluster Research Project proposals. **The cluster coordinator will be the research point of contact for Tactical Research Projects.**

The Principal Investigators of the Cluster's Tactical Research Projects will form a key part of the Cluster's research delivery team and will be expected to have an active role in supporting the Cluster leads in identifying further opportunities for the Cluster Program (see more information below.)

Cluster Tactical Project Teams

The Cluster Tactical Project team will be expected to harness relevant expertise in both countries to enable effective collaborative research, stakeholder engagement and / or community participation. To this extent demonstration of interdisciplinary capability across the team will be favoured in proposals. Further, in addition to formal reporting all project participants will be surveyed annually to identify their level of engagement and contribution to the project.

Research Higher Degree (RHD) Students

(this includes PhD students and Masters students undertaking a recognised role in supporting the research project delivery.)

Where Research Higher Degree (RHD) students act as research assistants or undertake any supportive role within the project delivery this should be indicated as a salaried assistant in the project proposals.

Where RHD students are actively engaged in the research development and delivery directly as part of their personal research, their contribution to the research project delivery should be fully attributed and acknowledged appropriately in any research outputs.

The AIC intends to run an RHD Cohort Program and will provide funds to support the professional development of the RHD group working across the AIC projects during the funding period.

Supervisors of RHD students must be notified of engagement by their students in these projects.

More information about the AIC RHD Cohort program will be available in May 2016.

Contracting

All administration of contracts will be subject to agreement in writing. The forms of contracting may vary depending on the lead institution.

All distribution of funds will be subject to agreement in writing. The forms of contracting may vary depending on the lead institution.

Further information about the contracting process will be provided to successful applicants.

However, note that proposals must be countersigned on completion by a person of authority within the lead institution accepting, in principle, the undertakings made in the research proposal on behalf of the institution.

Information about the AIC's legal framework is available on request.

Institution Lead Roles and Responsibilities

- For AIC Funded projects the successful applicants - Principal Investigators - will be required to assure project delivery within their institution's research policy framework and confirm that funding can be effectively managed within their administration. As AIC funds come from the Australian Government the lead legal entity will be a recognised Australian research institution.
- The Principal Investigator's named Home institution in this proposal will be the Lead Partner Institution for the purposes of the project liaison and provide support for finalisation of any contracts and funding payments. The Lead Partner Institution in Australia will be responsible for all financial reporting. Financial Reporting will be required by the AIC.
- The Principal Investigator will be responsible for assuring all monitoring and evaluation requirements of the AIC are met and that all due diligence is applied to all aspects of the conduct of the research project outlined in the proposal in alignment with the procedures and protocols of the Lead Partner Universities.
- Further details about contracting processes will be set out to successful applicants.
- Responsibilities between the AIC, the Lead Australian Institution and the Lead Indonesian institution will be described in the project contracts and schedules as required.
- The Principal Applicant and the named Lead Institution will be included in the funding agreement which will be negotiated upon award of the project fund.
- Management and reporting of additional funds and any attributed in-kind contribution which is attracted to the project during the period of AIC support will be specified in the Tactical Project Agreement.
- No funds will be released for the project until contracts and/or schedules are finalised and signed by the lead parties.

*** Australian Researcher eligibility for AIC Research Projects is based on the the ERA (Excellence for Research Australia) Guidelines 2015 for research recognition and institutional reporting. Cluster leads seeking advice may consult their relevant institution or faculty research office for further information. ERA documentation is available at <http://arc.gov.au/pdf/ERA15/ERA%202015%20Submission%20Guidelines.pdf>.**

3 PROPOSAL PROCESS

Proposal

The guidelines for AIC Tactical Research Projects (TRP) must be read carefully before submitting the proposal

If you wish to submit a proposal you must email research@australiaindonesiacentre.org and request access to the online proposal form. Please provide the first name, last name, email address and institution of the person who will be completing the proposal.

Each proposal for a tactical research project must be submitted online via the qualtrics link that was sent to them.

Each proposal must be submitted by the due date.

Any proposals submitted after this date will be referred to the Research Director for consideration.

If any components of the proposal are considered not applicable you may contact the AIC research director prior to submission.

Assessment

Once proposals have been submitted they will be assessed by the AIC for adherence to Research Investment Principles and Cluster Strategic Aims.

Each proposal will be sent to the assessment panel for selection.

Successful applicants will be notified by the AIC.

Implementation

Upon award of successful TRPs, relevant contracts or letters of agreement will be distributed to successful applicants.

The Cluster Lead Institution is responsible for sub-contracting any relevant project partners for each tactical research project that fall outside of AIC Partner institutions.

4 EXAMPLE OF ONLINE APPLICATION

QUESTIONS IN AIC TACTICAL RESEARCH PROJECT APPLICATION

Q1.5 SECTION 1 - PROPOSAL APPLICANTS

Please make sure you have read the above guidelines before commencing this application. Principal applicants must be employed as an academic staff member by one of the AIC participating institutions in Australia or Indonesia at a minimum 50% work commitment

Q1.6 PLEASE INDICATE YOUR NATIONALITY AND CURRENT COUNTRY OF RESIDENCE.

Q1.7 PLEASE INDICATE YOUR HOME INSTITUTION.

nb Your Home institution will be your main employer even if you are based at another institution at the time of your application

Q1.8 PRINCIPAL APPLICANTS PERSONAL DETAILS PRINCIPAL APPLICANTS PREFERRED TITLE

Q1.9 PLEASE COMPLETE YOUR PERSONAL DETAILS AS FULLY AS POSSIBLE

Q1.10 PRINCIPAL APPLICANTS CONTACT INFORMATION

Q1.11 PRINCIPAL APPLICANTS GENDER

The AIC aims to monitor gender participation in the research program. We would be pleased for all applicants to identify their gender

Q1.12 PRINCIPAL APPLICANTS AREAS of INTEREST / EXPERTISE

Q1.14 PRINCIPAL APPLICANT (AUSTRALIA) CV

Please upload your CV here (Please limit to 3 pages 11pt font)

Q1.15 PRINCIPAL APPLICANT (INDONESIA) CV

Please upload your CV here (Please limit to 3 pages 11pt font)

Q1.16 DO YOU NEED TO ADD CO-APPLICANT INFORMATION?

- YES (1)
- NO - skip to project proposal (2)

If NO - skip to project proposal Is Selected, Then Skip To DO YOU NEED TO ADD ADDITIONAL PROJECT...

Q1.17 CO-APPLICANTS

Q1.18 PLEASE INDICATE YOUR HOME INSTITUTION.

Q1.19 IF 'OTHER' INSTITUTION IS SELECTED PLEASE GIVE NAME OF INSTITUTION BELOW

Q1.20 CO-APPLICANTS PERSONAL DETAILS

Q1.21 PLEASE COMPLETE YOUR PERSONAL DETAILS AS FULLY AS POSSIBLE

Q1.22 CO-APPLICANTS CONTACT DETAILS

Q1.23 Co-Applicants Gender

Q1.24 Please indicate whether your expertise relates mainly to any of the AIC Research Cluster groups

Q1.25 CO-APPLICANT (AUSTRALIA) CV - Please upload your CV here (Please limit to 3 pages 11pt font)

Q1.26 CO-APPLICANT (INDONESIA) CV - Please upload your CV here (Please limit to 3 pages 11pt font)

Q1.27 DO YOU NEED TO ADD ADDITIONAL PROJECT PARTICIPANT INFORMATION?

- YES (1)
- NO - skip to Project Proposal (2)

If NO - skip to Project Proposal Is Selected, Then Skip To SECTION 2 : AIC SMALL PROJECT PROPOSAL

Q1.28 PROJECT PARTICIPANTS

Q1.29 PLEASE INDICATE YOUR HOME INSTITUTION.

Q1.30 Please give institution name if you selected 'other' above

Q1.31 PROJECT PARTICIPANTS PERSONAL DETAILS

Q1.32 PLEASE COMPLETE YOUR PERSONAL DETAILS AS FULLY AS POSSIBLE

Q1.33 PROJECT PARTICIPANT CONTACT DETAILS

Q1.34 PROJECT PARTICIPANTS GENDER

Q1.35 Please indicate whether your expertise relates to any of the AIC Research Cluster groups

Q1.36 PROJECT PARTICIPANT (AUSTRALIA) CV - Please upload CV here (Please limit to 3 pages 11pt font)

Q1.37 PROJECT PARTICIPANT (INDONESIA) CV - Please upload CV here (Please limit to 3 pages 11pt font)

Q1.38 ADDITIONAL PROJECT PARTICIPANT INFORMATION

Please upload additional researchers and their information in a separate file here. Please ensure the same format and level of detail for each researcher is given in the same format as the list above

Q1.39 SECTION 2: AIC TACTICAL PROJECT PROPOSAL

Q1.40 AIC RESEARCH CLUSTER

Please indicate which AIC Research Cluster your proposal relates to

	Both Energy and Infrastructure (1)	Energy (2)	Infrastructure (3)
Primary Cluster (please select one) (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q1.41 AIC Cross Cutting themes

Please indicate any cross-cutting or interdisciplinary areas your proposal relates to

	Environment (1)	Social Sciences / Economics (2)	Governance / Law / Policy (3)	Education / Culture / Language (4)	Other (5)	Not applicable (6)
Primary interdisciplinary area (1)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Secondary interdisciplinary area (2)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q1.42 PRIOR COLLABORATIVE ENGAGEMENT

Please indicate whether any of the following collaborative arrangements exist between the Principal Australian and Indonesian applicants in relation to this proposal. Please note this section aims to support the AIC identify the level of existing professional support for research engagement at department and institution. It will be also be used as a guide to AIC partners to identify projects which may require additional professional support.

	Please indicate any in the list which apply (leave blank if none apply) (1)
A formal agreement (eg MOU) is in place between one or more of the lead institutions (1)	<input type="checkbox"/>
Previous collaborative research has been conducted between one or more of the principal applicants, co-applicants or project participants named in this application (2)	<input type="checkbox"/>
Previous research funding application has been either granted, accepted or is in progress between one or more of the lead departments named in this application (3)	<input type="checkbox"/>
Other form of collaboration, eg shared teaching, development of curriculum, joint supervision of PhDs etc has been undertaken by the applicants (4)	<input type="checkbox"/>

Q1.43 Please provide additional information on any prior collaboration which may be relevant to this application

Q1.44 AIC TACTICAL RESEARCH PROJECT PROPOSAL - APPLICATION FORM

Q1.45 Project Title

Please provide a succinct title that summarises your project (up to 30 words)

Q1.46 Project Purpose

Please indicate the primary goal of your project (up to 100 words)

Q1.47 Project Objectives

Please provide no more than four key objectives for the project which describe the purpose in more detail. These will be used to assess the project success at the end of the funded period

Q1.48 Benefits from the proposed activity (up to 500 words)

Please highlight briefly how and why this initiative is novel how it will produce outcomes of value to Australia and Indonesia how it aligns to the AIC research priority clusters

Q1.49 Project Method

Please indicate the research method or approach proposed for the project. Please indicate what measures (as they relate to the method) will be assessed for impact / benefit upon completion of the funded stage of the project eg in relation to a technical transfer output, capacity development, knowledge base, science translation or other output.

Q1.50 Project Activities - detail

Please provide further details of the project activities planned - if you answered 'other research approaches / outputs' above please provide further details in your response below.

Q1.51 Specific Outcomes and Deliverables

Provide details of any specific components of the projects, eg activities or specific research deliverables.

Q1.52 Other project participants and stakeholders

Please provide details of any key participant groups or stakeholders who will be involved in the project (note there is no need to include the main AIC partner institutions in this list)

Q1.53 Sustainability of the Project Please outline how the project will intersect with the main research cluster identified as a priority area for this project. Indicate any other funding sources which will be available or sought to continue to develop the project or enable its integration into the research cluster.

Q1.54 Please upload any additional supporting information relevant to your application. Please limit additional information to 2 pages of A4. Font size should be no smaller than 11pt.

Q1.55 SECTION 3: PROJECT BUDGET

Q1.56 BUDGET CONTRIBUTION REQUESTED

Please provide a breakdown of the estimated costs for the proposed activities. Costs must be itemised – e.g. for accommodation: number of people x number of nights x up to the maximum guide cost per night. The prevailing exchange rate at the time of preparing the funding bids should be applied, as sourced from www.oanda.com. Please record below the exchange rate applied and conversion date. Exchange rate: IDR10,000 = AUD\$1 (estimated) Conversion date:

Q1.57 BUDGET CONTRIBUTION REQUESTED Participants based in Indonesia

Q1.58 OTHER FUNDING SOURCES

Please indicate other sources of funding which are currently accessible to support the project. If you select other funding type in the drop down options - please provide details in the comments section

Q1.59 Submissions may be saved and edited up to the closing submission time. Please ensure this application is complete before submission. Submission on-line should be made by MONDAY 6 JUNE 11:59pm AEST. Please note only on-line applications can be considered and downloaded. Applications should not be emailed to this address.

Q1.60 LETTER OF ENDORSEMENT - PRINCIPAL APPLICANT AUSTRALIA Please upload letter of endorsement signed by your Head of Department or equivalent representative nominated for AIC related applications at your institution

Q1.61 LETTER OF ENDORSEMENT - PRINCIPAL APPLICANT INDONESIA Please upload letter of endorsement signed by your Head of Department or equivalent representative nominated for AIC related applications at your institution

Q1.62 The AIC and DIKTIRISTEK would like to acknowledge the support and participation of our partner institutions.



Q2.1 IF YOU HAVE NOT COMPLETED THE APPLICATION AND HAVE FURTHER INFORMATION TO ADD PLEASE REVIEW YOUR RESPONSES BY CLICKING ON THE BUTTON BELOW OR CLOSE THE

BROWSER YOU CAN RETURN TO THE APPLICATION AT A LATER DATE HOWEVER ONCE YOU SUBMIT THE APPLICATION YOU MAY NOT BE ABLE TO EDIT FURTHER

Q2.2 CHECKLIST - PLEASE ENSURE THE APPLICATION IS COMPLETE AND THE CORRECT DOCUMENTS ARE ATTACHED

- APPLICATION IS COMPLETE - INCLUDING AN ESTIMATED BUDGET (1)
- DETAILS OF BOTH AUSTRALIA AND INDONESIA BASED APPLICANTS IS COMPLETE (2)
- CVs OF ALL APPLICANTS HAVE BEEN UPLOADED (3)
- A LETTER OF ENDORSEMENT FROM THE HEAD OF DEPARTMENT OR EQUIVALENT HAS BEEN UPLOADED (4)