



**BAOSTEEL-AUSTRALIA**  
JOINT RESEARCH AND DEVELOPMENT CENTRE

## **BAJC PROJECT PROPOSALS GUIDELINES 2018**

### CONTACT INFORMATION

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**Closing date: Monday 9 July 2018**

**Proposals must be submitted to BAJC to [admin@bjc.org.au](mailto:admin@bjc.org.au) in WORD FORMAT by midnight Monday 9 July 2018.**

**Proposals submitted after the deadline or not following the prescribed format will be declined.**

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## GENERAL INFORMATION

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### BACKGROUND

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Baosteel Australia Joint Research and Development Centre (BAJC) was established in Australia on 8 April 2011 as collaboration between Baosteel, one of the most competitive steel manufacturers in the world located in Shanghai China, and the University of Queensland, the University of New South Wales, Monash University, and the University of Wollongong.

BAJC successfully completed its first phase on 7 April 2016, and the second phase of the Centre BAJC 2.0 started on 8 April 2016. Under the agreement of BAJC 2.0 with Baosteel, we will continue the BAJC Research and Development Fund program, providing funding support for research projects, on a competitive basis, to develop innovative technologies of interest to Baosteel.

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### RESEARCH PRIORITY THEMES

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The priority themes for projects commencing 1<sup>st</sup> January 2018, are:

1. Steel and Associated Process
    - Numerical simulation and modelling of metallurgical processes
    - Phase equilibria and thermodynamics of metallurgical processes
    - Utilisation of low cost mineral and coal
    - Direct strip casting technology
    - Novel Technology for both hot and cold Rolling processes
    - Technical support for Baosteel products in Australian market
  2. Light Metals (titanium, magnesium, aluminum)
    - Ti-alloy development and processing technologies
    - Mg-alloy development and processing technologies including surface treatment
    - Al-alloy development for automotive vehicles and processing technologies
  3. Energy Storage Materials
    - Key materials for high energy density batteries
    - Key materials for super-capacitors
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### RESEARCH PROJECT PROPOSAL

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The fund application follows a two-stage application process - Expression of Interest (EOI) and full Proposal.

The EOIs will be ranked by a selection committee within Baosteel. The EOIs with high rank will be invited to submit full proposals for due diligence examination and further evaluation processes.

The full proposals will be evaluated by the selection committee within Baosteel. If necessary, Baosteel will seek comments from the Independent Expert Reviewers whom recommended by TAP. Baosteel may also arrange interview with the research team consisting of CIs and PIs if necessary.

If the project proposal is selected and a scope of budget is agreed with Baosteel, the proposal will be recommended to the Board for approval for funding.

Projects generally will be funded over three year timeframes, which may start around 1<sup>st</sup> January 2019, subject to availability of at least one RHD student supported by a matched top-up scholarship or full scholarship funded by the Participating Institution, with funding other than the BAJC Funding.

Eligibility for BAJC project funding requires that:

- Proposals must be submitted by a leading (or the first-named) Chief Investigator (CI);
- Leading CIs of current BAJC projects may be included in proposals as Associate Investigators (AIs);
- Both CI's and AI's must be from one of the participating institutions of the BAJC;
- Proposals must include Partner Investigator(s) (PIs) from Baosteel and certified by the PIs;
- A leading (first named) CI may only hold ONE on-going BAJC project at any time;
- A leading (first-named) CI can only submit ONE proposal.

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## RESEARCH PROJECT BUDGET

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- A project budget is required in the format specified in the project proposal (separately issued).
- The amount of funding support available from Baosteel for an individual research project is around \$100k - \$150k AUD per year, with potential additional funding opportunities from leverage funding resources such as ARC Linkage grant.
- The funding must be applied in accordance with the project budgets for the purpose of carrying out the project.
- The funding must NOT be applied to the purchase or upgrade of capital equipment without prior written approval of the Centre Board.
- The project budget must provide justification of budgeted costs.
- The Centre Board may approve the project budget informed by the recommendation from Baosteel.

BAJC project funds, where eligible, may be applied to obtain leverage, typically through the ARC programs. The arrangements for ARC-L industry funding using BAJC project funds as the industry contribution will continue as in the first phase of BAJC.

Baosteel is an industrial partner engaged in the ARC Industrial Transformation Research Hub for Computational Particle Technology program led by Monash University (MU). The University of Queensland (UQ) and The University of New South Wales (UNSW) are Participating Originations (PO) of this Hub program. Eligible funding from Baosteel through BAJC may be applied as an industrial contribution to apply for grant funding, from the Hub program. Please be advised that the ARC applies restrictions on the number of applications that can be made through its schemes. University of Wollongong (UOW) is not a Participating Origination (PO) of this Hub program, so CIs from UOW are not eligible.

The industry matching funds should not be concurrently applied to more than one grant provider. For budgeting purposes, please be advised that the funding rule on overheads may vary depending on the funding sources. Typically, the Participating Universities appropriate overheads from BAJC supported projects, which is not applicable if BAJC funding as the industry contribution to the ARC supported projects (i.e. an overhead component in the BAJC funding budget becomes available as project funds).

The actual amount of Baosteel funding available for leveraging may vary, depending on the scheme funding rules. It generally only available to the uncommitted part of the Baosteel funding at the time when the (leveraged) project starts.

The decision of utilizing BAJC project funds for leveraging purpose is at the discretion of the project Primary CI, who is responsible for project in compliance with the granting agency rules and the BAJC agreement. However, we encourage the Primary CIs prioritise to participate the Hub program, in order to ensure the Baosteel funding is leveraged and to save overheads cost for the project as well.

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## BUDGET GUIDANCE

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Please follow below guidelines, (exceptional situations require full justification):

**Personnel:** The standard base rates for personnel for BAJC cash funding are:

1. BAJC Postdoctoral Research Fellowships: base salary A\$66,406 (ARC DECRA rate)

2. BAJC Research Assistants: base salary of A\$60,000 (HEW 5.6 Monash U professional staff scale)
3. BAJC Research Technicians: base salary of A\$60,000 (HEW 5.6 Monash U services staff scale)
4. BAJC PhD scholarships at A\$30,000p.a.

- Salaries may be increment by 5% per year
- Excluding scholarships, statutory salary-related on-costs of up to a maximum of 30% may be applied to the base salary. These contribute to e.g. payroll tax, workers' compensation, leave loading, long-service leave, non-contributory and contributory superannuation. Items such as extended leave and severance pay are NOT included.
- Total salary costs (base salary plus salary related on-costs) may be marked up by an additional 30% as an overhead contribution. The total cash contribution to a FTE salary by BAJC is consequently (base salary \*1.69)
- Total salary costs (base salary plus salary related on-costs) may be marked up by an additional 100% as an in-kind overhead which may be claimed as an in-kind contribution by the Participating Organisation.

**Capital equipment:** The BAJC fund generally are not for sourcing capital equipment. Expenditures for capital equipment (more than \$5,000) are to be made with the express written permission of the Centre Board.

**Operating and other costs:** BAJC provides for these costs.

- The direct purchase costs for operating and other costs may be marked up by 30% to cover administrative costs. The total cash contribution by BAJC for direct non personnel costs is consequently (purchase cost \*1.30).

**Travel:** BAJC provides limited support for travel directly associated with the research projects. This cost should be included in the project budget:

1. Travel and fees for general conferences are not supported.
  2. Travel to attend the annual BAJC Conference is supported up to a maximum of \$3000 per year for the whole project team.
  3. Travel for the specific purpose of conducting the project is supported, e.g. to access equipment at Baosteel or elsewhere.
  4. A travel for CI to present the Closing Project Workshop at Baosteel is supported, including the return economy airfare and associated costs. The Closing Project Workshop is compulsory to close the project when the project is completed and will be conducted within 3-5 months following the accomplishment date of project.
- Travel costs may include an overhead component of 30% of the direct travel costs to cover administrative and booking costs.

Note that most of the Participating Universities appropriate the overhead (30% on salary, operating and travel) centrally, so this is removed from the funds available to carry out the project.

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## CONTRIBUTIONS TO THE PROJECT TOTAL COST

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BAJC will provide project funding towards to meeting the budgeted costs of approved projects. Participating Institutions may make cash or in-kind contributions towards the total cost of the project. Cash contributions by Participating Institutions will need to be allocated to BAJC for subsequent distribution.

BAJC Funding Budget Calculator is provided separately. All in-kind contributions must be reflected in the approved project budget.

Possible in-kind contributions are shown in the following Table, which may not be all-inclusive. The primary objective supporting the in-kind contributions from the Participating Institutions and Baosteel are to ensure that the available support is adequate for the successful completion of each project and that the Participating Institutions contributions are in accordance with the relevant project budget, aims and research plan contained in the relevant project.

In-kind contributions that are shown to be essential and central to the conduct of a project are given recognition in evaluating the total value of cash and in-kind contributions to account for the commercialisation income shares for Baosteel and any participating institutions. As a general rule, the value of in-kind contributions should reflect current market values.

In-kind contributions to a project may include scientific liaison and management, direct technical support, or unique access to reagents or equipment.

It is a requirement to receive BAJC project funding that at least one PhD student to be engaged on the project whom is supported by funds other than BAJC Funding. The student fees, scholarships for this student should NOT be paid from BAJC project funds. The student should be funded, for examples, by a scholarship external to BAJC, or by the Participating Institution, or leveraged funds from e.g. the ARC-L, self-funded, or any other non-BAJC source. This funding where appropriate may be counted as an in-kind contribution by the Participating Institution to the relevant Project.

<b>In-kind Category</b>	<b>Accepted</b>	<b>Not Accepted</b>
<i>Access to unique databases</i>	<i>Incremental costs of access</i>	<i>Cost of collecting the database</i>
<i>Analytical and other services</i>	<i>Internal rates</i>	<i>Commercial rates</i>
	<i>Incremental cost of providing service</i>	
<i>Equipment</i>	<i>Contributed – Used</i> <i>- fair market value</i> <i>- company book value</i> <i>- price for internal transfers</i>	<i>List or discounted list price</i> <i>Rental equivalents exceeding accepted values had the equipment been donated or sold</i>
	<i>Contributed - New</i> <i>- selling price to most favoured customer (if stock item)</i> <i>- cost of manufacture (if one of a kind)</i> <i>- cost of purchase</i>	<i>Development costs</i>
	<i>Lent</i> <i>- rental equivalent based on depreciation</i> <i>- rental rate equivalent to highest-volume user</i>	
	<i>Sold</i> <i>- difference between discounted price and selling price to most favoured customer</i>	
<i>Materials</i>	<i>Unit cost of production for commercial products</i> <i>Selling price to most favoured customer</i> <i>Price for internal transfers</i> <i>Cost of production of prototype and samples</i>	<i>Development costs (unless they are an integral part of the proposed project)</i>
<i>Salaries</i>	<i>The direct salary cost of the researchers engaged in the project</i> <i>30% on-costs, based on the direct salary</i> <i>60% overhead based on the direct salary</i>	<i>External charge-out or consultant rates</i> <i>Costs relating to administrative support since overhead has been included in salary costs</i>
<i>Contributed software</i>	<i>Copying costs</i> <i>Licensing cost</i> <i>Documentation cost</i> <i>Cost of training and support of software</i> <i>Cost of equivalent commercial product (where donated software is not commercially available)</i>	<i>Development costs</i>
<i>Travel</i>	<i>Travel costs associated with fieldwork</i> <i>Travel costs to meet with university personnel &amp; by Centre participant staff</i> <i>Conference travel for university staff</i>	
<i>Use of facilities</i>	<i>Internal rates for logistical support and travel allowance for university personnel working on by Centre Participant premises or on fieldwork</i> <i>Internal rates for use of specialized equipment by university personnel or use of process or production lines</i>	<i>Use of equipment by Centre Participant personnel.</i> <i>Space for Centre Participant activities outside the scope of the specific Proposal</i> <i>Equivalent commercial rates</i>

In-kind Category	Accepted	Not Accepted
	<i>Internal rates for value of lost production resulting from down time</i>	
<i>Background IPR</i>	<i>The value agreed by the parties in a project proposal or otherwise in writing.</i>	<i>N/A</i>

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## ASSESSMENT

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Assessment of project proposals is undertaken by Baosteel through a selection committee consisting of industrial experts and Baosteel's representatives of BAJC Technical Advisory Panel (TAP). Baosteel may seek recommendations from independent reviewers. Baosteel may also arrange an interview with the team consisting of CIs and PIs if necessary. Independent Reviewers will be invited by Baosteel via BAJC with recommendations from the Technical Advisory Panel (TAP). Baosteel will make recommendations to the Board through a process which may:

- consider if a project proposal satisfies the eligibility criteria set out in these Funding Guidelines;
- identify and consider any other matters that may influence a recommendation that a project not be approved for funding;
- seek external expert assessment (under conditions of confidentiality) if this is considered necessary;
- rank each project proposal relative to others on the basis of the proposal, assessors' reports, and responses to those assessment reports;
- prepare funding recommendations including assessments and recommendations regarding the amount of BAJC funding to be made available for a project.

Value for money will be an important consideration in the evaluation of project proposals. In addition, the following facts will be important considerations in the evaluation of project proposals:

- outstanding proven performance
- evidence of active cooperation
- state-of-the-art facilities
- stable team

The assessment criteria are shown below.

Assessment Criteria	Maximum Score
<b>(a) Innovation and strategic alignment with Research Priority Themes:</b> The extent to which the proposed research is innovative and strategically aligned	<b>25%</b>
<b>(b) Approach and methodology:</b> The extent to which the project is proposed with a solid theoretical and technical base	<b>25%</b>
<b>(c) Deliverable and achievable outcomes:</b> The extent to which the application is well planned with clear milestones and will deliver clear and achievable outcomes with high Technology Readiness Level (TRL)	<b>20%</b>
<b>(d) Research team and associated track records</b> The relevance and quality of the track record of the Project Leaders, particularly outcomes made from past BAJC project if applicable.	<b>20%</b>
<b>(e) Value for money</b> The extent to which the requested funding is justified and provides value for money against deliverables and TRL.	<b>10%</b>

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## POST-SELECTION FEEDBACK

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Unsuccessful applicants for project funding may seek feedback from BAJC management.

Detailed scoring information will NOT be provided. BAJC will provide quality feedback on why a project proposal not successful in terms of major assessment bands (position relative to other applications).

Unsuccessful applicants may re-submit their proposals in subsequent funding calls.

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## POST-PROJECT

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BAJC intent to publish end of project summaries from the research in the form of non-technical summaries of the project results for public release.

A full *Project Closure Report* is required from project Chief Investigators. Confidential information which forms part of the *Project Closure Report* may be attached as a separate confidential annex. Any confidential information will remain confidential to recipients.

All publications arising from this program will require written consent from the Centre prior to submission for publication, subject to the *BAJC Publication Procedures Manual* (refer to the BAJC website <http://www.bajc.org.au>).

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## PROJECT PROPOSAL SUBMISSIONS – TERMS AND CONDITIONS

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### **Ownership**

Applicants acknowledge that physical title in all project applications (EOI, Project Proposals and approved Projects) become the property of the Administering Organisation once lodged. BAJC may copy, amend, extract or otherwise deal with all or any part of a submission for the purpose of conducting the processes associated with project selection including preparation, evaluation or execution processes and any other of its management processes.

Innovative research ideas that may be contained within an EOI or Project Proposal remain the property of the applicants unless the project is approved, and the submission of a proposal does not entitle the Centre or any recipient of the proposal via the assessment process to have any rights to exploit the content of such proposal.

### **Acknowledgment and disclaimer**

BAJC, its officers, employees, advisors and agents:

- make no express or implied representation or warranty as to the currency, reliability or completeness of the information contained in the calls;
- make no express or implied representation or warranty that any estimate or forecast will be achieved or that any statement as to future matters will prove correct; and
- to the extent permitted by law, expressly disclaim all liability arising from the project application process (including, without limitation, due to information contained in or omitted from calls for project proposals, or otherwise provided to an applicant).

It is the responsibility of applicants to obtain all information necessary or convenient for the preparation of their submissions. In lodging a submission, each applicant acknowledges that it has not relied on any express or implied statement, representation or warranty as to the truth, accuracy or completeness of the information contained in a call for project proposal submissions, or otherwise provided to an applicant by the BAJC.

### **Applicant's costs**

All expenses and costs incurred by an applicant in connection with a project application submission, including (without limitation) preparing and lodging a submission, providing the BAJC with further information, attending interviews and participating in any subsequent negotiations, are the sole responsibility of the applicants.

### **No contract**

Nothing in a Call for Project Proposals submission or the lodgement of a submission in response to it can be construed to give rise to any contract or associated obligations or rights, whether express or implied. No contract will be created until a formal written contract is executed between the relevant parties and the applicant.

### **Reservation of BAJC's rights**

The BAJC reserves the right, at any time:

- to alter, amend or vary a project proposal call and the process outlined in a project proposal call
- if the BAJC considers that it is in the public interest to do so, to suspend or terminate a project proposal process or any part of it
- to require additional information or clarification from any applicant or anyone else, or provide additional information or clarification to any applicant or anyone else
- to negotiate or not negotiate with any one or more applicants, and discontinue negotiations at any time
- to allow, or not allow, the successful applicant to enter into the proposed contract in the name of a different legal entity from that which provided a response to the call for project proposals
- to select and negotiate with more than one applicant
- to add to, alter, delete or exclude any of the requirements to be provided by the preferred applicant under the call for project proposals.

For the avoidance of doubt, the BAJC may exercise its rights under this clause and elsewhere in a *Call for Project Proposals* at any time and in its absolute discretion.

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### AMENDMENTS TO THIS PROPOSAL GUIDELINES

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These Funding Proposal Guidelines may be amended by BAJC from time to time, subject to the Baosteel approval.