



BAOSTEEL-AUSTRALIA
JOINT RESEARCH AND DEVELOPMENT CENTRE

BAJC PROJECT PROPOSAL GUIDELINES 2019

CALL FOR PROJECT PROPOSALS

CONTACT INFORMATION

T: +61 7 3365 3616

F: +61 7 3365 4199

E: admin@bjc.org.au

Closing date: Monday 22 July 2019

Application must be submitted to BAJC to admin@bjc.org.au in WORD FORMAT by Monday 22 July 2019.

Application submitted after the deadline date or not following the prescribed format may be declined.

GENERAL INFORMATION

BACKGROUND

Baosteel Australia Joint Research and Development Centre (BAJC) was initially established in Australia on 8 April 2011 as collaboration between Baoshan Iron and Steel Co., Ltd., also known as Baosteel, and The University of Queensland, The University of New South Wales, Monash University, and University of Wollongong. Baosteel is one of the most competitive steel manufacturers in the world located in Shanghai, a subsidiary of China Baowu Steel Group (formerly Baosteel Group).

BAJC successfully completed its first phase in April 2016. The second phase of the Centre started from 8 April 2016. BAJC welcomed Deakin University as another Australian participating university in February 2019. Under the Agreement with Baosteel, BAJC will continue BAJC Research and Development Funding Program, providing funding support for research projects, on a competitive basis, to be conducted jointly with Baosteel, to develop innovative industrial technologies of interest to Baosteel.

RESEARCH PRIORITY THEMES

The priority themes for projects commencing from 1st January 2020 are:

1. Iron & Steel Materials and Associated Process
 - Novel numerical simulation and modelling of metallurgical processes
 - In-depth understanding of metallurgical processes
 - Cost effective and environment-friendly utilisation of low-grade minerals and coal
 - Advanced direct strip casting technology
 - Novel technologies for both hot and cold rolling processes
 - Novel technologies to address current challenges such as metal solidification, inclusion control, high-strength steel development and manufacturing etc.
 - Development of new and improved steel products
 - Industrial application of energy-saving and environment-friendly technologies
 - Technical support for Baosteel products in Australian market

2. New and Non-steel Materials
 - Light metals, including
 - Ti-alloy development and processing technologies
 - Mg-alloy development and processing technologies
 - Al-alloy development for automotive vehicles and processing technologies
 - Advanced materials, such as
 - Key materials for high energy density batteries
 - Key materials for super-capacitors
 - Other advanced materials

RESEARCH PROJECT PROPOSAL

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

Following selection of the EOIs ranked by committee in Baosteel, the selected EOIs with high rank are now invited to submit full proposals for due diligence examination and further evaluation processes.

The full proposals should be developed based on built ties between research teams in Baosteel and participating universities. All proposals will be evaluated by a selection of committee within Baosteel. If necessary, Baosteel will seek comments from the Independent Expert Reviewers whom are recommended by the Technical Advisory Panel (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 BAJC Board for approval of funding.

Projects generally will be funded over three year timeframes, which may start from 1st January 2020. As required by Baosteel, each project must have a RHD student participating in the project throughout the funding period. The nominated RHD student should be supported with a full scholarship from the participating university, or has a top-up funding to match the full scholarship by any funding other than BAJC Project Fund.

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;
- One leading (first-named) CI can only submit ONE proposal.

RESEARCH PROJECT BUDGET

- A project budget is required in the format specified in the project proposal (separately issued).
- The amount of funding support from Baosteel to 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 recommended by Baosteel.

BAJC project funds, where eligible, may be applied to obtain leverage, typically through the ARC programs, subject to the funding rules defined by individual funding scheme.

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. The overhead is not applicable in a Linkage project, in which, BAJC funding being the industry contribution to the project (the overhead component of BAJC funding budget becomes available as project fund).

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 Baosteel funding at the time the (leveraged) project granted.

The decision of utilizing BAJC project funds for leveraging purpose is at the discretion of the project leading CI, who is responsible for project in compliance with the granting agency rules and the BAJC Agreement.

BUDGET GUIDANCE

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\$78,481 (ARC DECRA rate)
 2. BAJC Research Assistants: base salary of A\$67,608 (HEW 5.1 UQ Professional Research Staff salary scale)
 3. BAJC Research Technicians: base salary of A\$67,608 (HEW 5.1 UQ Professional Research Staff salary 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.

1. The direct purchase costs for operating and other costs may be marked up by 30% to cover administrative costs.
2. 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 \$5000 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.

Please be advised that most participating universities appropriate the overhead (30% on salary, operating and travel) centrally, therefore, this portion of funding are not available to carry out the project.

CONTRIBUTIONS TO THE PROJECT TOTAL COST

BAJC will provide project funding towards to meeting the budgeted costs of approved projects. Participating Universities may make cash or in-kind contributions towards to the total cost of the project. Cash contributions by participating universities 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 Universities and Baosteel is to ensure that the available support is adequate for the successful completion of each project and that the Participating Universities contributions are in accordance with the relevant project budget, aims and research plan contained in the relevant project.

In-kind contributions are essential to the conduct of a project, which is also recognized in evaluating the total value of cash and in-kind contributions to account for the commercialisation income shares for Baosteel and any participating universities. 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 desirable to receive BAJC project funding that at least one RHD student participating in the project throughout the funding period. The nominated RHD student should be supported with a full scholarship from the participating university, or has a top-up funding to match the full scholarship by any funding other than BAJC Project Fund. This funding where appropriate may be counted as an in-kind contribution by the Participating University to the relevant Project.

In-kind Category	Accepted	Not Accepted
<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 & 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</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>lines 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>

ASSESSMENT

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 through BAJC with recommendations from TAP. Baosteel make recommendations to BAJC Board through below process:

- assess if a project proposal satisfies the eligibility criteria set out in Funding Guidelines;
- identify if any other possible issues that may influence the project not being approved for funding;
- seek external expert assessment (under confidentiality) when it's necessary;
- rank proposal based on its content, assessors' reports, and response to assessment reports;
- provide assessments and available funding amount to projects.

Value for money outcome is a key consideration in the evaluation of project proposals. In addition, the following factors are 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 in below table

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

POST-SELECTION FEEDBACK

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 next funding calls.

POST-PROJECT

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. All confidential information will remain confidential to recipients.

All publications arising from this project 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>).

PROJECT PROPOSAL SUBMISSIONS – TERMS AND CONDITIONS

Ownership

Applicants acknowledge that physical title in all project applications (EOI, Project Proposals and approved Projects) become the property of the Administering Organisation once application 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 through 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.

AMENDMENTS TO THIS PROPOSAL GUIDELINES

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