Institute of Advanced Studies (IAS) Rainmaker
Growing CDU’s revenue from research and innovation

2019 Guidelines

Version 5.
Date Approved: 27.02.2019
Version 5 replaces earlier guideline titled ‘2018 Guidelines’
Purpose of the IAS
Charles Darwin University’s (CDU) strategic plan (2016-2025) Connect Discover Grow commits to reinvigorating the Institute of Advanced Studies (IAS). The primary aims of IAS are to encourage multi/cross-disciplinary Advanced Studies within the University, as well as providing leadership and professional development for researchers, research students and other CDU innovators.

The IAS strategies for approaching these aims are to:

- heighten visibility of research and research capability for individuals and teams
- enable professional development and training opportunities
- facilitate the exchange of expertise about problems, ideas and discoveries
- offer HDR students projects and support to advance their careers
- drive the strategic allocation of Research Block Grant (RBGs) funds.

IAS Rainmaker Scheme
The IAS Rainmaker scheme aims to encourage growth in research revenue to support research activity.

The scheme provides funding to support external grant and tender application preparation. It is not designed to fully fund research activity or to support independent research and scholarship.

IAS Rainmaker is funded by RBGs. In 2018, CDU received approximately $17M of RBGs. RBG funds support many research and innovation activities, including HDR stipends and fees, ongoing commitments for researcher salaries, prior leveraging commitments, as well as research support.

IAS Rainmaker is funded from the Research Support Program (RSP) component of the RBGs. The other component of the RBG relates to Research Training Program (RTP). The use of RSP funds for the IAS Rainmaker scheme is consistent with RBG guidelines, as one of its stated aims includes supporting collaborations between CDU, industry and other research end-users.

IAS Rainmaker will be flexible in its approach to support growth in revenue from sponsored research and innovation. It typically consists of 4 interconnected schemes explained in this document, including application procedures. Applications for Readiness Grants (Scheme 2) are via EOI in the first instance and subject to competitive review.

Monitoring performance: IAS Rainmaker’s return of investment
Over time, CDU will assess the return on investment of the IAS Rainmaker initiative. The analysis will be facilitated by CDU’s Research Information System (RIS) which will be able to link any successful application for external funding with an IAS Rainmaker investment. The outcomes will help to identify opportunities for CDU to develop the capabilities of researchers and innovators as they pursue external funds, as well as fine-tuning the quality and effectiveness of the IAS Rainmaker scheme. The main performance indicator will be the connection between IAS Rainmaker investments and growth in RBGs.

It is expected that the IAS Rainmaker scheme will be revised later in 2019, in consultation with the Colleges.
IAS Rainmaker schemes: overview

**Scheme 1: Start-up grants**

- **Purpose**: Start-up grants support preparation to secure external funding. They can pay for travel costs, workshops, equipment, software and data, teaching support, conferences, teaching buy-out, marking or other teaching activity to free up staff time to work on the external funding applications or any other authorised expenses that contribute to the pursuit of sponsored research and innovation income.

- **Funds available**: fixed at $2,500 per grant per eligible applicant. Applicants can form teams and pool funds up to $20,000 per team (i.e. up to 8 nominated eligible applicants).

- **To be successful**: Eligible applicants must be CDU employees employed at a minimum of 0.4 FTE with no less than 9 month’s duration remaining on their employment contract at the time of application. Students, professional staff and Honorary staff are not eligible.

- The anticipated funds for CDU – if the funding opportunity is successful – must be greater than $50,000 for an individual or a team up to 4 people; or $100,000 for a team of 5 to 8 applicants.

- **Applications** will be accepted on a continuous basis until 30 September 2019 or when the IAS Rainmaker review is completed, whichever occurs earlier.

Part A of this document provides further details of *Start-up grants*, including a link to the required application form.

**Scheme 2: Readiness grants**

- **Purpose**: Readiness grants, formerly Proof of Concept grants, provide funding to support larger, ‘pilot’ or preparation activities leading to high quality proposals for eligible external funding. Examples of activities include, support demonstration projects, pilot studies, and associated purchase of essential resources, travel, workshops, or any other activity required to develop an external funding application and improve future research proposal prospects.

- **Funds available**: Total funds available in 2019 are to be confirmed later in the year and we expect to support 8-10 grants with an anticipated fivefold return-on-investment (ROI). Readiness Grants should not be used when other funding schemes (e.g. Start-up funds) are available or pending. Readiness Grants are not designed to provide funding to institutions other than CDU.

- **To be successful**: Readiness Grants are for discipline-experienced investigator(s) who are CDU staff employed at a minimum of 0.4 FTE with no less than 12 month’s duration remaining on their employment contract at the time of application and have the appropriate track record to lead successful projects. Students and Honorary staff are not eligible.

- **Applications** will be accepted initially via an expression of interest (EOI) and will be assessed by an experienced panel chaired by the DVC-RRT. Further detail will be requested from project applicant(s) who are selected to proceed to the next round.

The scheme has been updated to place more emphasis on applicant(s)’ research track record as well as the prospect of securing external funds. An online application form will be made available when the EOI is announced later this year.

Part B of this document provides further details of *Readiness grants*. 
## Scheme 3: Application Support

✓ **Purpose**: application and proposal support normally build on Start-up and/or Readiness grants. Application support includes information about potential funding sources, budget advice and review, compliance checking, information about CDU capability statements, team brokering and similar support.

✓ Professional editorial support is *also* available to support funding applications for sponsored research and innovation income where funds for CDU are greater than $250,000.

Part C of this document provides further details. Application support will be offered to all applications that satisfy the eligibility requirements, including meeting internal deadlines.

## Scheme 4: Leverage Funds

✓ **Purpose**: Leverage funds are offered to satisfy the requirements or expectations for institutional cash contributions by some funders.

✓ **Eligibility and selection process**: Leverage funds are typically made available for sponsored research and innovation funding proposals where CDU cash support is a *formal, evidenced requirement*.

✓ **Funds available**: the general approach of leverage funding will commit cash to the project budget at a rate of up to 20% of the expected CDU cash return (i.e. up to $1 cash commitment for every $5 cash return). Leverage funds are contingent on the bid being successful. Leverage funds are only made available after contracts are executed. Leverage funds are provisionally committed as a proportion of the project budget, and are reduced proportionately to any reduction in the awarded funds.

✓ **Leverage Funds and Readiness**: If a Readiness grant has already been granted for the project, the actual leverage funding provided from RBGs will be reduced by the amount of any Readiness funds from RBG.

**Funds distribution**: in 2019, Rainmaker leverage will be provided until funds are fully committed.

Part D of this document provides further details, including a link to the required application form.
Part A. Scheme 1: Start-up grants

Start-up grants support initial activity to secure research and innovation income. A Start-up grant is fixed at $2,500 per eligible applicant. Start-up grants can be awarded to teams of up to 8 nominated eligible applicants (i.e. $20,000 maximum per team).

Selection

✓ It is the responsibility of the applicant to gain approval from their supervisor to submit a Start-up grant.
✓ Eligible applicants must be CDU employees employed at a minimum of 0.4 FTE with no less than 9 months duration remaining on their employment contract at the time of application. Casual employees meeting these criteria are eligible. Please note: Students, professional staff and Honorary staff are not eligible to apply for funds but can be listed as a non-financial team member on a project.
✓ Applicant(s) must demonstrate how the Start-up funding will support activities that will result in an external funding application that aligns with the applicant(s)’ proposed research and innovation idea.
✓ Start-up grants cannot be used for team members’ (staff) salaries. However, they may be used for teaching buy-out, marking or other teaching activity to free up staff time to work on the external funding applications. Providing employment opportunities for CDU HDR students in this way is encouraged.
✓ The anticipated funds for CDU (if the application is successful) must be no less than $50,000 for an individual application or team (up to 4 eligible applicants) or $100,000 for a team with 5 to 8 eligible applicants.
✓ A person may be on many teams, but an eligible applicant cannot be in receipt of more than one active Start-up grant at any time, including Start-up grants awarded in previous rounds. A grant is considered active until the final report is submitted and accepted by ORI. If a team member has an active Start-up grant, the person will not be considered an eligible applicant.

How to apply

Step 1: Authorised users open an application in the Applications Module in CDU’s Research Information System (RIS) and fill out the standard preliminary information (Instructions on how to enter an internal grant application are included at Appendix A).
Step 2: Complete the separate application form (located at http://www.cdu.edu.au/research/ori/funding then choose IAS Rainmaker Grants) and upload the application form in the Research Information System (RIS) application record under the documents section (choose ‘other’).

Deadline

Applications can be submitted at any time prior to Monday 30 September 2019. In the event that the Rainmaker review is concluded earlier or a “run” on IAS Rainmaker Start-up grants that would over-commit the 2019 pool, the round will close sooner.

Expenditure and reporting requirements

Apply for Start-up funding only when you can fully expend the funds within 9 months of award. Related external applications must also be submitted within 9 months of the award. A financial statement and half page report outlining the outcomes of the Start-up funding will be required within 10 months of award. The report must summarise the activities Start-up funding supported, confirmation that the funds have been expended and details about the external funding application that was submitted, i.e. PURE ID Number. A grant is considered active until the final report is submitted and accepted by ORI. Unexpended funds will be required to be returned.
**Part B. Scheme 2: Readiness grants**

EOIs for IAS Rainmaker Readiness grants, formerly Proof of Concept grants, to support larger, ‘pilot’ or preparation research will open later this year, pending the availability of funding. The scheme places more emphasis on applicant(s)’ research track record as well as the prospect of securing external funds and improving future funding prospects. Details of the EOI will be announced by Q2, 2019.

**Part C. Scheme 3: Application support**

Application and proposal support normally build on Start-up and/or Readiness grants. Application support includes information about potential funding sources, budget advice and review, compliance checking, information about CDU capability statements, team brokering and similar support.

Professional editorial support is also available to support funding applications for sponsored research and innovation income where funds for CDU are greater than $250,000. Application support will be offered to all applications that satisfy the eligibility requirements, including meeting internal deadlines.

**Part D. Scheme 4: Leverage funding grant**

Leverage funds are offered to satisfy the requirements or expectations for institutional cash contributions by funders. Leverage funds are contingent - provided only if the bid is successful.

If leverage funds are required by the funding body, they must be requested at the time the budget for an external application is being designed. They are normally offered for funding proposals only where CDU cash support is a formal, evidenced requirement.

It is anticipated that the majority of approved leverage funds will be for Category 1-4 income opportunities (as per the HERDC guidelines). The general approach of leverage funding will commit RBG cash to the project budget at a rate of up to 20% of the expected CDU cash return (i.e. up to $1 cash commitment for every $5 cash return). If a Readiness grant has already been granted for the project, the actual leverage funding will be reduced by the amount of the Readiness grant. ORI can manage additional leverage contributions from Colleges.

In 2019 there are funds to provide IAS Rainmaker leverage on an as-needed basis. At all times there is a cap on the total amount of IAS Rainmaker leverage funding that can be offered contingently, related to the potential cash flow of leverage funds to successful projects.

**Need assistance?**

Contact RGBD@cdu.edu.au.
Implications of a successful application
IAS Rainmaker recognises that cash-flow and contingent funding risks are hard to manage within the tightly committed budgets of colleges, potentially inhibiting important investments in the future of CDU research and innovation. Therefore, RBG allocations for Readiness and Leverage are made to colleges in advance of CDU receiving the RBG return actually attributable to those activities. Advances made in respect of leverage grants will be offset against any performance-based RBG allocation that may be available to a college.

For example: if $100K is spent on the total leverage funding in any year, a unit’s annual RBG performance distribution for the following year(s) will be reduced by the same amount. However, an “overpayment” will not be treated as a deficit to ensure there is an incentive to pursue growth in funding including leverage funding. ORI will work with unit areas to stagger the offset against future performance-based RBG allocations to encourage the use of leverage funding.

Leverage funding support, if successful, will result in a financial commitment. Thus, requests for leverage funding must be approved by both the relevant unit delegate (typically this will be the College Dean), verified by signing the application form.

Leverage funding requests must allow time for significant budget analysis and possible rework that normally takes 3 weeks.

How to apply

**Step 1:** Complete the separate Leverage Funds application form (located at [http://www.cdu.edu.au/research/ori/funding](http://www.cdu.edu.au/research/ori/funding) then choose IAS Rainmaker Grants), have your unit delegate sign it and then upload the document into your related external funding application record in the Research Information System (RIS) under the documents section (choose ‘other’).

**Step 2:** Send a copy of the completed application form along with your external funding application budget to the Deputy Vice Chancellor Research via [RGBD@cdu.edu.au](mailto:RGBD@cdu.edu.au) no later than three weeks prior to the external funding deadline.

**Step 3:** After seeking advice from the Deputy Vice Chancellor Research, the Manager of Research Grants and Business Development will formally advise whether or not leverage support has been approved, and if approved, to what value.

Deadline
Applications for leverage funding can be submitted at any time during 2019.

Release of funding
Leverage funds are contingent on the bid being successful. Leverage funds are only made available when contracts are executed. Leverage funds are provisionally committed as a proportion of the project budget, and are reduced proportionately to any reduction in the awarded funds. Where a funded project spans multiple years, leverage funds will be proportionately allocated over the award period unless otherwise required in the funding agreement.

Need assistance?
Contact [RGBD@cdu.edu.au](mailto:RGBD@cdu.edu.au).
Appendix A - Entering an application for Start-up grant or Readiness grant in RIS

1. **Log in to RIS (use Firefox, Chrome or Safari)**
   - If on campus ensure you are first logged in to the Internet ([http://auth.cdu.edu.au/](http://auth.cdu.edu.au/))
   - Log into RIS ([https://ris.cdu.edu.au/admin](https://ris.cdu.edu.au/admin)) using your CDU credentials:
     - username is your full email
     - password is your standard CDU login password

2. **Start new application**
   - Hover your mouse over stack of coins icon (Applications)
   - Click on ‘+’ button that appears next to Applications
   - Click on Application > Application > Grant > Proposal

3. **Fill out the following details**
   - **Nature of Activity type** - click on button and choose ‘Grant: Internal’ from list
   - **Title** – please put IAS Rainmaker [grant type] then brief project name, i.e. IAS Rainmaker Start-Up – Why do birds fly? Or IAS Readiness – Why do birds fly?
   - **Description** – brief description of project
   - **Applicants** – you should already be auto generated so just add any additional CDU team members who will be part of the project (ensure team members to receive the grant funding are listed as CIA to CID so we can allocate funding accordingly)
   - **Application managed by** – this will auto populate to your area
   - **Collaborative partners** – add any external organisations if partnering
   - **Funding** – click on add funding:
     - under ‘funding organisation’ type and select ‘Charles Darwin University’ as funder
     - under ‘HERDC Income Categories’ choose ‘Non-HERDC – Internal Funds Distribution’
     - under ‘Funding project scheme’ type in ‘IAS Rainmaker – [grant type – i.e. Start-up or Readiness]
     - under ‘Applied amount *’ enter the amount you are applying for
     - press blue ‘Create’ button
   - **Life cycle** – enter expected start and end dates
   - **Documents** – upload your completed application form here
   - **Discipline Assignment - Field of Research** – add relevant field code to 4 digit level
   - **Socio-Economic Objective coding** - add relevant SEO code to 4 digit level
   - **Research focus** – add from list that appears when you click on button
   - **Regionally relevant** - add from list that appears when you click on button
   - **Type of Research** - add from list that appears when you click on button

4. **Send to pre-approval**
   - Hover mouse on grey bar at bottom of window – it then expands
   - Select send to pre-approval (this sends application to RGBD to check it is complete)
   - **NB:** during this workflow stage changes can still be made to the Application record by applicant/s

5. **Approval stage**
   - Once RGBD and applicant are satisfied that record is complete, RGBD will assess for approval
   - **NB:** during this workflow stage the record is locked – no changes can be made by applicant/s

6. **Assessment and outcome**
   - Application is assessed and an outcome email is sent to the applicant via RIS.