



An Australian Government Initiative



Shaping Business, Transforming Industry

Enterprise Connect Researchers in Business

Client Information Guide

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website: www.enterpriseconnect.gov.au

Enterprise Connect Hotline: 131 791

About these guidelines

The Enterprise Connect Researchers in Business Client Guidelines contained in this document, as amended from time to time, (**Guidelines**) provide information on:

- the Researchers in Business scheme and the broader Enterprise Connect program of which it is a part
- the criteria for eligibility for Researchers in Business funding
- how to apply for Researchers in Business funding, including requirements for the format and content of an application
- how an application for Researchers in Business funding will be processed and what will happen after the application is processed
- other general terms governing the provision of Researchers in Business funding and these Guidelines.

Further information on Researchers in Business and Enterprise Connect can be found on our website at www.enterpriseconnect.gov.au or by contacting the nearest Enterprise Connect Centre on 131 791.

These Guidelines are issued by the Commonwealth of Australia as represented by the Department of Innovation, Industry, Science and Research (the **Department**).

Terms used in these Guidelines

In addition to the above defined terms ('Department' and 'Guidelines') terms used in these Guidelines have the following meanings:

- **Applicant** means Firm or Research Organisation applying for the Researchers in Business Funding
- **Enterprise Connect Centre** means any of the following Enterprise Connect centres: Manufacturing Centres; Creative Industries Innovation Centre; Clean Technology Innovation Centre; Remote Enterprise Centre; Resources Technology Innovation Centre; Defence Industry Innovation Centre and Innovative Regions Centre
- **Firm** means an Australian small and medium sized business that receives a Placement
- **Placement** means a Researchers in Business placement for which the Department provides Researchers in Business funding
- **Program Funds** means funds available for the awarding of Researchers in Business funding under Enterprise Connect
- **Project** means a project conducted by a Researcher in conjunction with a Firm through a Placement
- **Researcher** means an eligible researcher identified in section 2 of these Guidelines that participates in a Placement
- **Research Organisation** means a research organisation referred to in section 2.1 of these Guidelines
- **Researchers in Business Funding** has the meaning given in section 1 of these Guidelines.

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1 Introduction

1.1 Introduction

Enterprise Connect is a \$50 million a year Australian Government program that provides support to eligible Australian small and medium sized businesses. Core elements include Business Reviews for eligible businesses at no charge to firms and grant assistance to implement recommendations flowing from the Business Reviews.

Researchers in Business is an element within Enterprise Connect to support the placement of researchers from universities or public research agencies with participating small and medium sized firms where it is identified that such a placement would help the firm to develop and implement a new idea with commercial potential.

Researchers in Business is aimed at firms who are unable to undertake new ideas due to lack of funding.

These Guidelines apply only in relation to Researchers in Business funding, and may be amended by the Department at any time. Applicants for Researchers in Business funding should ensure that they have the latest Guidelines available from the Enterprise Connect website at www.enterpriseconnect.gov.au or by contacting the Enterprise Connect Hotline on 131 791.

1.2 Objectives of Researchers in Business

The objectives of Researchers in Business are to:

- help break down the cultural divide between Australian businesses and the research sector
- stimulate the dissemination of expertise from research organisations to industry, and to stimulate the dissemination of industry knowledge back into the research community
- accelerate the adoption of new ideas and technologies by Australian firms
- increase the competitiveness of Australian firms.

Enterprise Connect provides funding for half of the salary costs of engaging a Researcher, up to a maximum of \$50 000 (excluding GST) for a Placement for a period of two to twelve months. Researchers in Business Funding is provided to either the Research Organisation or the Firm, depending on which party is the approved applicant.

An up-front payment of 70 per cent of the approved amount will be paid to the Researchers in Business Funding recipient after completing a funding agreement and submitting a tax invoice. The Firm must match the amount of the Researchers in Business Funding by an equivalent cash payment towards the Researcher's salary during the term of the Placement. The equivalent cash payment cannot be sourced from another government program. In-kind contributions do not count towards the Firm's cash contribution.

2 Eligibility Criteria

An application for Researchers in Business Funding may only be made by a Research Organisation or an Australian small and medium sized business. To be eligible for Researchers in Business Funding, a proposed Placement must satisfy eligibility criteria relating to the:

- Research Organisation (2.1 below)
- the Firm receiving the Placement (2.2 below)
- Researcher involved in the Placement (2.3 below)
- Project (2.4 below)
- management commitment of the Researchers in Business Funding recipient (2.5 below).

The eligibility criteria for applicants are set out below.

2.1 Research Organisation Eligibility

For a Research Organisation to be eligible for Researchers in Business Funding it must be from one of the following Research Organisations:

- an Australian university (Uni)
- the Australian Nuclear Science and Technology Organisation (ANSTO)
- the Commonwealth Scientific and Industrial Research Organisation (CSIRO)
- the Australian Institute of Marine Science (AIMS)
- the Defence Science and Technology Organisation (DSTO)
- the Cooperative Research Centres (CRCs)
- National ICT Australia (NICTA)
- the National Measurement Institute (NMI)
- Australian Research Council (ARC) Centres of Excellence, or
- another Research Organisation as advised by Enterprise Connect.

2.2 Firm Eligibility

A firm is eligible for a maximum of two Researchers in Business projects. For a firm to be eligible for Researchers in Business Funding, it must:

- be registered with an Australian Company Number (ACN) or an Australian Business Number (ABN) in the case of firms eligible for Remote Enterprise services
- have turnover or expenditure of more than \$1 million and turnover or expenditure of under \$100 million in the current financial year or one of the two preceding financial years
- be solvent
- have filed Business Activity Statements (BAS) for at least three full consecutive years **or** has submitted BAS for a minimum of one year and can demonstrate previous trading history under a different legal entity
- have not received funding for the project from other Government programs (whether Commonwealth, State, Territory, local or otherwise) within the last three calendar years
- involve a different Research Organisation to a previous Researchers in Business project where the firm is seeking a second project
- comply with its obligations under the *Equal Opportunity for Women in the Workplace Act 1999 (EOWA)*. Companies on the current list of non-compliant organisations, available at www.eowa.gov.au, are not eligible to apply. Note: The EOWA currently applies to organisations with 100 or more employees
- operate in one or more of the Enterprise Connect sectors (see Section 2.6).

2.3 The Proposed Researcher

For an applicant to be eligible for Researchers in Business Funding, its application must relate to the Placement of a Researcher that:

- is enrolled or have completed a postgraduate degree by research or demonstrate equivalent research and professional experience. The Researcher must provide evidence that their experience is equivalent to a Masters degree
- has the research skills necessary to perform the Project
- is employed by the Research Organisation.

Projects that require the skills of more than one Researcher are eligible; however, the total funding from Enterprise Connect will not exceed \$50 000 (excluding GST).

Enterprise Connect can assist small and medium sized businesses to identify appropriate Researchers.

Where an appropriate Researcher cannot be sourced from a publicly funded Australian Research Organisation, Enterprise Connect will consider Researchers from international publicly funded Research Organisations.

International Researchers must reside predominantly in Australia for the full term of their participation in the Project. If the Researcher does not have permanent resident status they must obtain temporary or permanent resident status from the Department of Immigration and Citizenship before commencing the project. Enterprise Connect will not pay the travel costs to and from Australia.

2.4 Project Eligibility

For an applicant to be eligible for Researchers in Business Funding, the application must relate to a specific Project, and be conducted by an eligible Australian business, that:

- develops a new idea with commercial potential
- involves eligible research and development activities
- involves activities that are not currently being carried out in the Firm and that will create new competencies and capabilities within the Firm
- is aligned with the Firm's business strategy
- requires the Researcher to spend a significant proportion of time working on-site within the Firm
- is not an ineligible Project (see Section 2.4.2).

2.4.1 Eligible Research and Development Activities

Eligible research and development activities include:

- systematic investigation or experimentation activities:
 - that involve innovation, technology transfer into Australia or technical risk
 - that are carried out in Australia
 - the object of which is new knowledge (with or without a specific practical application) or new or improved materials, products, devices, processes or services.

Examples of the kinds of Projects that may be eligible for Researchers in Business Funding include (but are not limited to):

Type of client problem or needs	Examples of specific issues / opportunities
Environmental Sustainability	Identify/assess pollution reduction and energy efficiency solutions
	Identify waste production and reduction opportunities or solutions (water, energy, waste recycling etc.)
	Environmental impact modelling – assess liability/identify and implement practical green opportunities
Marketing Innovation	Measure impact of current advertising and marketing campaigns
	Assess brand equity – measure brand value, recognition and credibility
	Understand customer needs and behaviour – understand customer patterns, industry trends and future needs

Type of client problem or needs	Examples of specific issues / opportunities
	Evaluate customer price sensitivity – measure importance of price and sensitivity to price changes
	Assess new market opportunities – size, profitability, competitors, potential partners, barriers to entry etc.
Process Innovation	Address production/process issues (e.g. improve manufacturing efficiencies and/or quality through new or improved design or technologies)
	Identify and assess relevant new technologies for potential application
Product Innovation	Expertise to develop new products and services (both research and development activities)
	Undertake independent product performance assessments
	Identify and test new materials or techniques

2.4.2 Ineligible Projects

An ineligible Project is one that:

- involves activities which would have taken place in any case. Researchers in Business is aimed at Projects which Firms are unable to undertake due to a lack of funding
- involves activities which form a normal part of doing business (e.g. standard business services which can be easily purchased from the private sector)
- would result in Researchers in Business Funding being used as a wage subsidy for existing employees of a small and medium sized business
- involves an existing and ongoing relationship around the proposed Project between the Firm and the Research Organisation
- involves a firm that has two Researchers in Business projects at the time of application
- would result in Researchers in Business funding being used to engage the same Research Organisation as a previous Researchers in Business project
- involves an activity that would be more effectively undertaken by a private sector organisation.

2.4.3 Eligible Expenditure

Researchers in Business Funding can cover up to 50% of the following expenditure:

(a) Personnel Costs

- salary of the Researcher(s) – salary costs will be assessed against typical Research Organisation pay scales for equivalent experience
- salary on-costs – costs associated with superannuation, workers compensation insurance
- travel and accommodation – where the Project requires the Researcher to undertake significant intrastate and interstate travel, reasonable costs can be included in the total personnel costs

(b) Research Organisation Administrative Costs

- up to 30 per cent of total personnel costs can be used to cover the administrative costs of the Research Provider

Projects can involve either a full or part-time Placement; however, Projects involving part-time Placements must have a minimum 30 per cent effective full-time (EFT) commitment from the Researcher.

Projects that require the skills of more than one Researcher are eligible; however, the total funding from Enterprise Connect will not exceed \$50 000 (excluding GST).

2.5 Management Commitment

For an Applicant to be eligible for Researchers in Business Funding, it must demonstrate a commitment by the proposed Firm to the management of the Project.

This may include controlled access to Firm information, access to key personnel by the Researcher, mentoring supervision of the Researcher and proposed access to relevant equipment or facilities of the Firm.

The application must describe how the Project will be undertaken and the facilities, personnel and other resources that will be utilised.

2.6 Enterprise Connect Sectors

2.6.1 Manufacturing

A firm whose predominant business activity is classified under Division C 'Manufacturing' of the Australian and New Zealand Standard Industrial Classification (ANZSIC) is a 'Manufacturing Firm' for the purposes of these Guidelines.

The ANZSIC definition of manufacturing is "the physical or chemical transformation" of materials, substances or components (being the products of agriculture, forestry, fishing and mining, or the products of other manufacturing units) into new products. All firms whose predominant business activity meets this definition are classified under Division C – Manufacturing in the ANZSIC coding system.

Firms whose predominant business activity is software development are also eligible.

A firm is also defined as a manufacturing firm where its predominant business activity is not manufacturing, provided it has an eligible manufacturing division or unit that has turnover or expenditure of more than \$1 million and under \$100 million in the current financial year or one of the two preceding financial years.

2.6.2 Manufacturing-Related Services

A firm is a manufacturing-related service provider if it:

- delivers a service that contributes to the transformation of manufactured products (including their *re-processing, re-use or recycling*), **and**
- the service is the predominant activity of the firm or it contributes at least \$1 million and under \$100 million in turnover or expenditure to the firm.

Examples of services that are considered to be manufacturing related include:

- Research and Development Services
- Product Design Services
- Waste Treatment and Disposal Services (ANZSIC code 2921)
- Engineering Design and Engineering Consulting Services (ANZSIC code 6923)
- Scientific Testing and Analysis Services (ANZSIC code 6925)
- Computer System Design and Related Services (ANZSIC code 7000)
- Packaging Services (ANZSIC code 7320)
- Electronic (except Domestic Appliance) and Precision Equipment Repair and Maintenance (ANZSIC code 9422)
- Machinery Equipment Repair and Maintenance (ANZSIC code 9429)

To be a manufacturing-related service firm, a firm does not need to exclusively provide the manufacturing related services described above.

Refer to the Manufacturing Centre Client Information guide for more information.

2.6.3 Clean Technology

The Clean Technology sector includes firms involved in:

- the generation of energy from renewable and low carbon sources such as solar, wind, wave, tidal, low-emission coal, biofuels and cogeneration
- solar hot water, desalination and water efficiency
- development and supply of methods, equipment and technology used to reduce energy demand or increase energy efficiency.

2.6.4 Resources Technology

Resources technology includes firms that receive a substantial portion of their revenue, directly or indirectly from mining, oil and gas companies for the provision of goods and services. Such firms identify themselves with the mining, oil or gas industry. Goods and services could include, but are not confined to, equipment, software, engineering, research and development.

Mining includes exploration, mining (extraction), quarrying and processing (including smelting and refining of metals, minerals) and decommissioning and closure of mining operations.

Oil and gas refers to the equipment and services used in the upstream oil and gas industries (offshore and onshore fields) and includes a range of activities from drilling, seismic acquisition and processing, design and construction, logistical support, laboratory testing and technical services.

2.6.5 Creative Industries

The Creative Industries Innovation Centre will assist firms in the following sub sectors: design, publishing, writing, architecture, photography, visual arts, television, radio, advertising, film, performing arts, music, games and interactive content and software development.

2.6.6 Defence

A defence business is an Australian based company with a turnover of less than \$100 million, which is providing or has the capacity to provide defence specific goods or services in a supply chain which leads to a Department of Defence somewhere in the world.

2.6.7 Remote Australia

Business located in the areas classified as remote or very remote will be able to access services from the Remote Enterprise Innovation Centre. All sectors in remote Australia will be eligible to apply.

Businesses in outer regional areas with substantial operations/activity in remote Australia can also apply.

3 How to apply for Researchers in Business Funding

3.1 Application Form

To apply for Researchers in Business Funding an applicant must complete a Researchers in Business Funding application, which can be obtained at www.enterpriseconnect.gov.au. The application form can be completed and submitted online. The declaration on the form must be completed by:

- an authorised representative of the proposed Firm and
- an authorised representative of the Research Organisation and
- the Researcher.

An authorised representative of the applicant Firm includes the Chief Executive Officer, Chief Financial Officer, Director, Chair of the Board, President or similar position holder. An authorised representative of the Research Organisation is the Director of the Office of Research or equivalent.

Applications can be made at any time. For assistance during the application process, please call the Enterprise Connect Hotline on 131 791.

3.2 Content of the Application

The application must include the following information below:

Applicant Details

- registered name
- Australian Business Number (ABN) or Australian Company Number (ACN)
- address (in the case of a company, the registered address)
- name(s) and contact details of the Applicant's nominated contact person(s)
- where the Applicant is the Research Organisation they are only required to enter an ABN.

Associate Applicant Details

The proposed Research Organisation and Firm must also provide these details (to the extent not covered by the Applicant details above):

- registered name
- an ABN or ACN
- address (in the case of a company, the registered address)
- name(s) and contact details of the Applicant's nominated contact person(s)
- where the Applicant is the Firm they are only required to enter an ACN.

Eligibility Criteria

- information demonstrating that the proposed Firm and Research Organisation satisfy the eligibility criteria set out in sections 2.1 and 2.2 of these Guidelines.

Researcher Information

- the name, qualifications and experience of the Researcher(s)
- information demonstrating that the proposed Researcher(s) satisfies the eligibility criteria set out in section 2.3 of these Guidelines.

Project Information

- the aims and objectives of the Project
- the nature and scope of the Project, including the role of the Researcher(s) in the Project
- proposed time frames for the performance of the Project
- proposed Project funding requirements
- information demonstrating that the proposed Project satisfies the eligibility criteria set out in Section 2.4 of these Guidelines.

Management Commitment

- how the proposed Firm satisfies the compliance criteria in section 2.5 of these Guidelines
- is able to provide extra information as required.

Applicants may be contacted by the Department for further information to assist the Department determine whether the eligibility criteria for Researchers in Business Funding have been satisfied. The Department may also use information obtained from other sources for that purpose.

4 Processing of Applications for Researchers in Business Funding

4.1 Approval

Authority to award final approval of an application for Researcher in Business Funding will be delegated to an officer (the Program Delegate) in the Department by the Minister for Innovation, Industry, Science and Research. The Program Delegate will have the final decision in determining the eligibility, quantum, terms and conditions of the Researcher in Business funding.

The provision of Researchers in Business Funding is subject to available Program Funds and Commonwealth policy. The Program Delegate will not approve an application for Researchers in Business Funding if the application cannot be accommodated following an assessment of:

- the Researchers in Business Funding sought under an application
- commitments of Program Funds in the current financial year
- commitments in future years
- the Program Funds currently available

In addition, the Enterprise Connect Program Delegate may make policies of general application and other guidelines and decisions in relation to the administration of Enterprise Connect, which may affect the awarding of Researcher in Business Funding.

A decision on the success of an application will ordinarily be provided within two weeks of (i) the date of receipt of a complete application, or (ii) the date of receipt of any additional information requested by the Department according to these Guidelines, whichever is later.

A successful applicant for Researchers in Business Funding must agree to a commencement date with the Researcher and Research Organisation or Firm (as the case may be) involved. This will need to be within three months of notification of the application being approved by the Program Delegate.

Any questions regarding the status of an application can be directed to the Enterprise Connect Hotline on 131 791 or emailed to enterpriseconnect@innovation.gov.au.

4.2 Unsuccessful Applications

Unsuccessful applicants may contact the Department (see the contact details in Section 10) to discuss the reasons why they were not eligible for Researchers in Business Funding.

5 Formal Agreement

A recipient of Researchers in Business Funding, whether it be a Research Organisation or a Firm, will be responsible for the administration of the Researchers in Business Funding, including receiving and managing the funding and reporting on the Placement outcomes to the Commonwealth.

Following the final approval of an application, the successful Applicant must enter into a funding agreement with the Commonwealth.

The funding agreement will:

- empower the Commonwealth to recover program funds in circumstances where the Applicant has not used the Researchers in Business Funding, or used it in a way not permitted by the funding agreement
- require the funding recipient to comply with applicable laws of the Commonwealth, States and Territories, and these Guidelines (including, without limitation, the reporting obligations in section 6 of these Guidelines)
- specify the amount of Researchers in Business Funding for the Project to which the application relates and the timing of payment of the funding
- require the recipient to participate in the Placement to which the application relates
- prescribe terms for the Placement
- require that arrangements for the ownership of intellectual property created in the performance of the Placement are set out in the placement contract
- require the recipient to keep records relating to the Placement
- require the appropriate acquittal of Researchers in Business Funding by the recipient
- provide for variation and termination of the agreement, and
- may include other matters.

A copy of the Department's pro-forma funding agreement for Researchers in Business is available on the Enterprise Connect website www.enterprise.connect.gov.au

6 Reporting

A Researchers in Business Funding recipient must complete a short (no more than one page) progress report template halfway through the completion of the Placement. For instance, a twelve month Placement will require a progress report to be completed after six months.

Following completion of the Placement, the Researchers in Business Funding recipient must complete a report template detailing the impact of the Placement and the Project on the Firm, Researcher and Research Organisation, and the level of satisfaction with the Researchers in Business program and an audit report signed by an Approved Auditor as per the funding agreement confirming the funds have been used for the intended purposes.

The Researchers in Business Funding recipient may also require the recipient to provide audited financial statements to the Department confirming that the Researchers in Business Funding was used in accordance with the funding agreement. The Department will reimburse Researchers in Business Funding recipients the cost of auditing their financial statements where there are no internal resources that meet the definition of an Approved Auditor as per the funding agreement, up to a limit of \$3 000 (excluding GST but in addition to the \$50 000) payable within 30 days of the provision of a receipt.

Report templates will be provided to the Researchers in Business Funding recipient and can also be downloaded at www.enterpriseconnect.gov.au.

7 Tax Implications

Ten per cent will be added to the agreed amount of the funding offer for the purposes of GST. A successful applicant must pay this additional amount directly to the Australian Taxation Office (ATO).

For example, if a project for \$50 000 is approved, the Commonwealth will pay \$55 000 to the successful Applicant and the Applicant must then pay \$5 000 to the ATO.

The funding agreements are not of themselves exempt from income and other taxes. It is for an Applicant to make their own assessment and decision on taxation issues as part of the process of deciding whether or not to apply for funding. The Department does not give legal or taxation advice.

8 Confidentiality

Information provided by an Applicant to the Department is regulated by the relevant provisions and penalties of the *Public Service Act 1999*, the *Public Service Regulations*, the *Privacy Act 1988*, the *Crimes Act 1914*, the *Criminal Code* and general law. The information provided in an application for Researchers in Business Funding:

- will be used by the Department to determine eligibility of the Applicant for Researchers in Business Funding, and for the administration and further development of Enterprise Connect. Any subsequent information provided to the Department, its Business Advisers or other service providers in the course of Enterprise Connect, may be used for similar purposes
- may be disclosed between the Department, its Business Advisers and other contractors and service providers for the purposes described above
- will not be used for marketing or publicity purposes without your consent, except to the extent that it is used in a public announcement of a successful application as described below
- may be disclosed for audit purposes to contractors engaged by the Department and to other Commonwealth agencies for audit, reporting and law enforcement purposes
- may be disclosed by the Department if it obtains the Applicant's consent
- may also be disclosed as permitted or required by law, or in response to questions posed by the Minister, Parliament or its committees (for example, if the Department is required to respond to a resolution of the Parliament, or an order of a court).

Aggregated information may be disclosed to other Commonwealth departments and agencies, or made public; however, an Applicant's name and other identifying information will not be disclosed.

There will be regular public announcements of successful Applicants for Researchers in Business Funding. The public announcement will include broad details of an application, for example, the identity of the successful Applicant, the value of the assistance and/or funding and a brief description of the purpose of the assistance and/or funding. An Applicant concerned about confidentiality should contact their nearest Enterprise Connect Centre office.

9 The Department's Other Rights

Nothing in these Guidelines should be construed to give rise to any contractual obligations or rights, express or implied, by the issue of these Guidelines or the submission of an application for Researchers in Business Funding. No funding agreement will be created until a formal written agreement is executed between a successful Applicant and the Department.

Notwithstanding any other provision of these Guidelines, the Department reserves the right, at any time, to:

- alter, amend or vary these Guidelines, and the process outlined in these Guidelines
- act, refrain from acting, or make a decision, that is inconsistent with these Guidelines.

Notwithstanding the approval of any application for Researchers in Business Funding, the provision of Researchers in Business Funding by the Department, and the amount of any Researchers in Business Funding, is subject to available Program Funds and changes in Commonwealth policy.

10 Feedback on Researchers in Business Funding

Applicants are encouraged to provide feedback on Enterprise Connect services and the process for the provision of Researchers in Business Funding.

If you want to provide feedback or have a complaint contact:

- The Manager of Researchers in Business in the first instance

The National Manager - Technology and Knowledge
Enterprise Connect
Department of Innovation, Industry, Science and Research
Innovation House
Mawson Lakes Boulevard, Technology Park
Mawson Lakes SA 5095
Phone: (08) 8162 4712
Email: evangelos.lambrinos@innovation.gov.au

OR

- the General Manager in writing if you are not satisfied with the complaint resolution procedure

General Manager
Enterprise Connect
Department of Innovation, Industry, Science and Research
GPO Box 9839
CANBERRA ACT 2601