



**AUSTRALIAN  
ACCESS FEDERATION**

[www.aaf.edu.au](http://www.aaf.edu.au)

# AAF ENABLED SERVICES MINI-GRANT APPLICATION PACKAGE

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This package provides the necessary details to apply for an AAF enabled services Mini-grant.

25 November 2009

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## I. EXECUTIVE SUMMARY

The Australian Access Federation (AAF) project is funded by the Department of Innovation, Industry, Science and Research (DIISR), through the National Collaborative Research Infrastructure Strategy (NCRIS) Platforms for Collaboration (eResearch) capability.

The purpose of the AAF is to provide a mechanism for connecting members of the education and research sectors, including academics, researchers, and students securely and reliably to online information, infrastructure, services and resources.

The objects of the Federation include, but are not limited to:

- supporting online access to shared research and education infrastructure, resources and services for researchers, teachers and students in Australia;
- developing and implementing a governance model and consistent technologies to support a trusted national authentication and authorization regime; and
- entering into co-federation arrangements to support international collaboration.

In order to stimulate development and deployment of AAF enabled services, AAF Inc. has received approval from DIISR to offer Mini-grants.

This document provides details on the *AAF enabled services Mini-grant* application process, the Mini-grant payment schedule, selection criteria and associated selection process. Mini-grant applications are invited from Australian Higher Education institutions, related government research institutions, government agencies and private sector research organisations. All applications must follow the guidelines in this package to be considered. The following table provides an overview of the Mini-grant scheme.

Activity	AAF Enabled Services Mini-grant Scheme
Mini-grant value	Up to \$40,000AUD Broken up into a number of payments: <ul style="list-style-type: none"> <li>• 50% of funds awarded prior to the commencement of the Mini-grant project.</li> <li>• 25% upon acceptance of the first <i>Mini-grant Activity Report</i></li> <li>• 25% upon completion of project activities and submission and review of the final <i>Mini-grant Activity Report</i>.</li> </ul>
Mini-grant Rounds	4 Mini-grant rounds
Application Due Dates	The Mini-grant application will be open from 1 October 2009.  Round 1: 30 October 2009 Round 2: 27 November 2009 Round 3: TBC Round 4: TBC
Notification of Outcome	Successful applicants will be notified on or shortly after the following announcement dates: <ul style="list-style-type: none"> <li>• Round 1: 8 November 2009</li> <li>• Round 2: 11 December 2009</li> <li>• Round 3: TBC</li> <li>• Round 4: TBC</li> </ul>

<p>Selection criteria</p>	<p>R1. The potential of the service to promote growth of the AAF across the sector:</p> <ul style="list-style-type: none"> <li>a. how the service is to be used by AAF participants</li> <li>b. how the service will facilitate AAF uptake by new members (this includes the expected growth of the user base after the completion of the project's activities)</li> <li>c. that the service can be deployed to the federation in a timely manner</li> <li>d. how the service assists with Australian research, teaching and learning effectiveness and how federating the service will further increase this (this may also include associated administration systems for research, teaching and learning)</li> <li>e. how the service involves collaboration and/or can be used more broadly across the research and education community</li> </ul> <p>R2. Technical excellence of the proposal</p> <p>R3. Soundness of the project plan and progress reporting</p> <p>R4. Project Management capability within the organisation</p> <p>R5. Demonstration of institutional commitment to the proposal and longer term commitment to the service (e.g. co-investment).</p> <p>R6. The proposal does not duplicate work already occurring.</p>
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## 2. INTRODUCTION

The Australian Access Federation (AAF) Inc. is currently developing and deploying production grade infrastructure to facilitate trusted electronic communications and collaboration within and between Australian and international higher education and research institutions. The aim of the AAF is to provide a means of allowing a member institution to trust the information it receives from another member so that access to resources and secure communication can be conducted seamlessly, in a way that will support effective collaboration between users.

The AAF Project is sponsored by the Australian Government's Department of Innovation, Industry, Science and Research (DIISR), through the National Collaborative Research Infrastructure Strategy (NCRIS) Platforms for Collaboration (eResearch) capability. The AAF Inc. is managed by an interim Executive Committee consisting of members from the Council of Australian University Directors of Information Technology and various other stakeholders from DIISR and the National Research Infrastructure Committee (NRIC).

The AAF will provide the framework to enable researchers, staff members and students at member universities or research institutions to login using a single account issued by their own institution and access a wide range of potential resources internal and external to the institution, including:

- data collections and data grids;
- scientific instruments, modelling and visualisation tools, and computing resources;
- collaboration environments and workspaces for virtual teams;
- scholarly resources and publications;
- e-learning resources and learning object collections; and
- national higher education and research administrative systems.

This means:

- users can collaborate more easily with colleagues because it is easier to share access to tools and resources; and
- users need to remember only one account from their own institution instead of requesting and remembering accounts from several different resource providers.

The AAF Inc. will allow service providers to provide access to their resources or services to authorised users in a secure way without having to issue or manage user accounts.

Institutions will benefit from the AAF Inc. by enabling their research, academic, and administrative users to access a wide range of resources and to collaborate more easily with colleagues in Australia and AAF international peers.

### 3. PURPOSE OF THE AAF ENABLED SERVICES MINI-GRANT SCHEME

The Mini-grant scheme has been designed to stimulate development and deployment of AAF enabled services. Mini-grants of up to \$40,000 AUD will be awarded to successful institutions nationally. The grant is to assist current and potential Service Providers (Australian Higher Education institutions, related government research institutions, government agencies and private sector research organisations) with deployment of their service(s) to the Federation.

### 4. PREREQUISITES

Applicants must be an Australian Higher Education institution, related government research institution, government agency or private sector research organisation.

In addition to having a valuable service to contribute to the Federation, Mini-grant applicants are required to demonstrate technical readiness to join the AAF. The recipient must agree to abide by the *Federation Rules for Participants* on a 'best efforts' basis. *Federation Rules for Participants* can be downloaded from [www.aaf.edu.au](http://www.aaf.edu.au)

### 5. SELECTION CRITERIA

Applicants are required to respond to the following Selection Criteria in the *Mini-grant Proposal Application Form*:

- R2. The potential of the service to promote growth of the AAF across the sector:
  - a. how the service is to be used by AAF participants
  - b. how the service will facilitate AAF uptake by new members (this includes the expected growth of the user base after the completion of the project's activities)
  - c. that the service can be deployed to the federation in a timely manner
  - d. how the service assists with Australian research, teaching and learning effectiveness and how federating the service will further increase this (this may also include associated administration systems for research, teaching and learning)
  - e. how the service involves collaboration and/or can be used more broadly across the research and education community
- R3. Technical excellence of the proposal
- R4. Soundness of the project plan and progress reporting
- R5. Project Management capability within the organisation
- R6. Demonstration of institutional commitment to the proposal and longer term commitment to the service (e.g. co-investment).
- R7. The proposal does not duplicate work already occurring.

In addition, priority will be given to applications demonstrating that:

- a) the breakdown of the expenditure of funds is clear and the amount of funds requested has been well planned and is sufficient to achieve the scope of work identified; and
- b) the scope of work has been clearly identified and is well planned and achievable in the proposed timeframe.

## 6. APPLICATION PROCESS

Applicants should complete the *AAF Enabled Services Mini-grant Application Proposal Form* detailing how they meet the selection criteria and the amount of funding requested. The proposal should provide up to six (6) A4 pages of supporting documentation.

## 7. SUBMISSION PROCESS

The Mini-grant application will be open from 1 October 2009 and will close on 27 February 2010 and will consist of four rounds. The AAF Inc. reserves the right to finish the Mini-grant program before 26 February 2010 if there are a number of applications received in initial rounds which successfully meet the Selection Criteria. AAF Inc. also reserves the right to extend the grant period past 26 February 2010. This information will be publicised on the AAF website.

The closing date for applications is detailed below:

- Round 1: 30 October 2009
- Round 2: 27 November 2009
- Round 3: TBC
- Round 4: TBC

Please submit all applications electronically as PDF to:

Mr Heath Marks  
Project Manager, AAF Inc.  
Telephone: +61 7 3138 1231  
Email: [minigrants@aaf.edu.au](mailto:minigrants@aaf.edu.au)  
Subject: Mini-grant application

Intending applicants are encouraged to discuss their proposals with:

Mr Terry Smith  
Technical Program Manager, AAF Inc.  
Telephone: +61 3138 2424  
Email: [T.Smith@qut.edu.au](mailto:T.Smith@qut.edu.au)

## 8. REVIEW PROCESS AND GRANT ANNOUNCEMENT

During the week following application closure, the Selection Panel will evaluate proposals.

The Core Selection Panel members are as follows:

Name	Position	Association with AAF Inc.
Mr Richard Northam	General Manager, CAUDIT	Public Officer, AAF Inc.
Mr Terry Smith	Technical Program Manager	AAF Inc. Project
Mr Bradley Beddoes	Technical Expert	Private Consultant

Three additional panellists will be chosen from the list below for each round:

Name	Position	Association with AAF Inc.
Mr Bruce Callow	Director, Information and Communication Technology Services, Griffith University	Secretary, AAF Inc. Interim Executive Committee
Mr James Sankar	Director, Applications and Services, AARNet	Co-opt Member, AAF Inc. Interim Executive Committee
Mr John Parry	Director, Information Technology Resources, University of Tasmania	Ordinary Member, AAF Inc. Interim Executive Committee
Mr Peter Nissen	Manager, Strategic Initiatives, CAUDIT	Co-opt Member, AAF Inc. Interim Executive Committee
Mr Neil Thelander	Director, Information Technology Services, Queensland University of Technology	President, AAF Inc. Interim Executive Committee

Where necessary the Selection Panel will co-opt Domain Experts within a specific field to assist with evaluation of proposals.

Successful applicants will be notified on or shortly after the following announcement dates:

- Round 1: 8 November 2009
- Round 2: 11 December 2009
- Round 3: TBC
- Round 4: TBC

Information about the successful applications will be made available on the AAF website.

## 9. MINI-GRANT AMOUNT, FINANCIAL ARRANGEMENTS AND SUPPORT

### Mini-grant Funding Amount

Mini-grant amounts of up to \$40,000AUD are available. The amount of the Mini-grant awarded will be based on the size of the project, audience and relevance to the sector. Applicants should clearly state and justify the grant amount in the *AAF Enabled Services Mini-grant Application Proposal Form*. AAF Inc. reserves the right to part-fund the amount requested.

### Funding Schedule

The Mini-grant payment schedule will occur in 3 payments:

- Payment 1: 50% of funds awarded prior to the commencement of the Mini-grant project.
- Payment 2: 25% upon acceptance of the first *Mini-grant Activity Report* (see section 10).
- Payment 3: 25% upon completion of project activities and submission and review of the final Mini-grant Activity Report.

Payment 3 will occur after the AAF Inc. Interim Executive Committee has reviewed and approved the *Final Mini-grant Activity Report* (see Section 10). The Final Report should clearly show how the project has met the original objectives, goals and deliverables submitted in the *Mini-grant Application Form*.

### Support

AAF Project Team has a pool of skilled resources available to assist Service Providers with technical, policy and governance, AAF marketing and general support. An AAF specialist will contact the recipient to discuss potential support requirements once the Mini-grant is awarded.

### Project Support Staff

AAF Inc. can assist the applicant in sourcing staff and contractors to undertake the proposed work. Applicants are encouraged to contact the Technical Program Manager (see section 7) to discuss their requirements prior to submission.

## 10. POST CONDITIONS

The Mini-grant conditions (details over page) require that grant recipients submit a monthly *Mini-grant Activity Report* by the last Friday of each month during the project period. *Mini-grant Activity Report* templates are to be used for reporting. The report is to contain a summary of the activities supported by the Mini-grant funding, including:

- Recent project progress, activities and highlights
- Project performance against:
  - Timeline
  - Budget
  - Scope
  - Resources
  - Risk
- Planned activities for the next reporting period.

Upon completion of the project, recipients are required to submit a *Final Mini-grant Activity Report*. The Final Report should clearly show how the project has met the original project objectives, goals and deliverables submitted in the *Mini-grant Application Form*.

## 11. MINI-GRANT TERMS AND CONDITIONS

The recipient agrees to enter into a Subcontract between QUEENSLAND UNIVERSITY OF TECHNOLOGY ABN 83 791 724 622 a body corporate established by the Queensland University of Technology Act 1998 on behalf of the Council for Australian Directors of Information Technology ("QUT"). The Subcontract incorporates the DIISR Head Agreement as an Appendix to specify the relevant terms and conditions. Copies of the Subcontract and DIISR Head Agreement will be available by email from Heath Marks, Project Manager, AAF Inc. (heath.marks@qut.edu.au).

In addition the Mini-grant is awarded on the condition that:

- a) Funds are payable by the Queensland University of Technology on behalf of AAF Inc. usually within 30 days of raising an official invoice (including information for funds transfer) from the recipient's institution for the relevant amount as specified in the payment schedule, provided that all relevant requirements of the Mini-grant Sub-contract are met.
- b) Funds must be deposited into a bank account in the name of the organisation administering the project.
- c) Funds are only to be used to recover personnel costs associated with the project described in the application form.
- d) Any proposed changes to the funded project must first be approved in writing by the President, AAF Inc.
- e) All funds must be spent before 31 December 2010.
- f) AAF Inc. must be notified within 14 days of any changes to the recipient contact details.
- g) The recipient's organisation must sign the *Federation Rules for Participants* on a 'best efforts' basis. Recipients will be required to re-sign the *Federation Rules for Participants* once the AAF has finalised its processes and procedures in 2010.
- h) The recipient submits a monthly *Mini-grant Activity Report* as stated in section 10.

Applicants must sign the Mini-grant Terms and Conditions in the *Mini-grant Application Form*.

Acknowledgement: This Application Package is based on templates from Macquarie University and Queensland University of Technology.