



ARC Centre of Excellence for
All Sky Astrophysics in 3 Dimensions

Membership Policy

OVERVIEW

The ARC Centre of Excellence for All Sky Astrophysics in 3 Dimensions (ASTRO 3D) is a \$40m Research Centre of Excellence funded over the next 7 years by a grant from the Australian Research Council (ARC) and supported by six collaborating Australian universities.

The Centre will ultimately produce a comprehensive picture of the evolution of matter, the chemical elements, and energy in the Universe from shortly after the Big Bang to the present day. ASTRO 3D merges world-leading Australian and international optical, infrared and radio telescope technologies with sophisticated theoretical simulations and ambitious new big data analysis techniques to open a new realm in astrophysics - a 3D understanding of the origins of the Universe and our place within it. Through the Centre, the next generation of scientific leaders will be trained within a cohesive, national and international framework that includes cutting edge science and data intensive infrastructure, highly successful nationwide and worldwide collaborations, leading equity and diversity programs, and large-scale public education and outreach programs.

SCOPE

This Policy applies to all organisations and individuals who wish to become members of ASTRO 3D.

RELATED DOCUMENTS

- Recruitment Policy
- Equity and Diversity Policy
- Visitor Policy
- Executive Management Committee Terms of Reference

DEFINITIONS

Affiliates - researchers who have a scientific association with ASTRO 3D, but who are not CIs, PIs, AIs or staff. ASTRO 3D Affiliates include independently funded researchers (e.g. Future Fellows) working alongside ASTRO 3D researchers at a node or researchers who have an involvement in ASTRO 3D not warranting membership at the CI, PI or AI level. Affiliates are not responsible for any ASTRO 3D research deliverables.

Associate Investigators - scientists who are funded from a Collaborating Organisation, Partner Organisation or other source and who are participating in ASTRO 3D research projects with specific deliverables. AIs are responsible for making an intellectual and strategic contribution to ASTRO 3D in their specific area(s) of expertise. They will normally be based in Australia and will typically be researchers for whom membership at the CI or PI level is not suitable for logistical or strategic reasons.

Centre Director - the key leadership position in ASTRO 3D and drives the ARC Centre of Excellence's key activities. The Centre Director is also the Research Director.

Chief Investigators - senior researchers employed by collaborating organisations named in the ASTRO 3D Collaborators' Agreement. CIs are responsible for making a substantial intellectual and strategic contribution to ASTRO 3D and for supervising ASTRO 3D research staff, professional staff and students.

Node Leader - The Node Leader is the ASTRO 3D leader at each node (or Collaborating Organisation). The Node Leader will drive and be responsible for all ASTRO 3D staff at that location. The node leader attends ASTRO 3D executive meetings and is responsible for monthly communication of ASTRO 3D updates to the ASTRO 3D researchers and staff at their node. The monthly updates may include, but are not limited to, relevant progress presented at the monthly executive meetings.

Partner Investigators - senior researchers employed by partner organisations named in the ASTRO 3D Multi-Institution Agreement. PIs are responsible for making a substantial intellectual and strategic contribution to ASTRO 3D and, where appropriate, they may also co-supervise ASTRO 3D students.

Professional Staff - employees of a ASTRO 3D collaborating organisation who are classified on the professional/general pay scale, or are working in a professional role, and are funded from the ASTRO 3D budget or as an in kind contribution to ASTRO 3D. Professional staff are responsible for coordinating the administrative, financial, educational and outreach activities within ASTRO 3D.

Research Staff - employees of an ASTRO 3D collaborating organisation who are classified on the academic pay scale and are funded at FTE 0.2 or higher from the ASTRO 3D budget. Research staff are responsible for producing the research, technical and outreach results associated with the ASTRO 3D milestones and, where appropriate, may also co-supervise ASTRO 3D students. All Research Staff must have an ASTRO 3D CI as their line manager.

Students - ASTRO 3D students are postgraduate students (e.g. PhD or masters by research following an honours degree) whose research projects make a substantial intellectual contribution to ASTRO 3D. An ASTRO 3D student can be enrolled at any higher degree granting institution, but should have an ASTRO 3D CI as an official supervisor or co-supervisor. ASTRO 3D will consider exceptions to this on a case-by-case basis. Pre-docs who are working in ASTRO 3D prior to starting their PhD are also considered students.

Visitors - academics from outside Australia who spend time working at an ASTRO 3D node on a research project with a CI and other research staff. Visitors enhance the collaborative work between international researchers and ASTRO 3D researchers. An ASTRO 3D PI may also be an ASTRO 3D Visitor during time spent working at a node.

POLICY

1) Categories of Membership

There are 3 categories of Organisational Membership and 8 categories of individual membership within ASTRO 3D. Individuals can represent an organisation or be an individual member of ASTRO 3D. However, in order to be a Chief Investigator an individual must represent a Collaborating Organisation with membership and in order to be a Partner Investigator an individual must represent a Partner Organisation with membership.

2) Conditions of Membership

All members of ASTRO 3D must:

- support the goals, objectives and research of ASTRO 3D;
- follow the correct process for joining, maintaining and leaving ASTRO 3D;
- accept the right of the ASTRO 3D Executive Committee to refuse membership to any organisation or person at any time;
- accept the legal obligations that the Administering Organisation has with the ARC;
- abide by all ASTRO 3D policies, including those related to intellectual property;
- accept that all disputes regarding membership will be referred to the Centre Director; and
- accept that membership is not transferable.

3) Organisational Membership

a) Types of Organisational Membership

There are 3 types of organisational membership - Administering Organisation, Collaborating Organisation and Partner Organisation.

b) Founding Organisational Members

The following are the founding participants in ASTRO 3D and all have organisational membership.

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|--|----------------------------|
| • The Australian National University | Administering Organisation |
| • The University of Western Australia | Collaborating Organisation |
| • The University of Melbourne | Collaborating Organisation |
| • Swinburne University of Technology | Collaborating Organisation |
| • The University of Sydney | Collaborating Organisation |
| • Curtin University | Collaborating Organisation |
| • CSIRO | Partner Organisation |
| • Australian Astronomical Observatory | Partner Organisation |
| • National Computational Infrastructure | Partner Organisation |
| • Heidelberg Institute for Theoretical Studies | Partner Organisation |
| • The University of Oxford | Partner Organisation |
| • Chinese Academy of Sciences | Partner Organisation |
| • Netherlands Institute for Radio Astronomy | Partner Organisation |
| • California Institute of Technology | Partner Organisation |
| • The University of Washington | Partner Organisation |
| • The University of Toronto | Partner Organisation |

c) Change of Administering Organisation

The Administering Organisation is the Australian National University. In order to change the Administering Organisation refer to the ARC Funding Agreement.

d) Application as a Collaborating Organisation Member

If an organisation wishes to join ASTRO 3D as a Collaborating Organisation, they may apply to the Administering Organisation at any time for membership. The process for adding a collaborating organisation member is documented in the multi-institution agreement (MIA). In the case of any ambiguity please refer to the MIA, which takes precedence over the membership policy.

Proposals for membership as a Collaborating Organisation must demonstrate a significant contribution of cash, in-kind or other material resources from the Collaborating Organisation(s), having regard to the total cost of the project and the relative contribution of each Chief Investigator.

The Administering Organisation is required to consult with the existing Collaborating Organisations. This will be done through the Executive Committee and Advisory Committees who will consider the following factors when assessing the organisation's suitability to join.

- The ARC Funding Agreement and Funding Rules eligibility criteria
- The academic research contribution the organisation will make to ASTRO 3D
- The financial and other non-financial contributions that the organisation will make to ASTRO 3D
- The track record and proposed contributions of specified Personnel, Chief Investigators and any other proposed ASTRO 3D members that the organisation has nominated

Prior to approval of organisational membership, the Administering Organisation must:

- notify all Collaborating and Partner Organisations of the proposed admission of the organisation and associated investigators;
- execute an Admission Letter (see Schedule 1) with the new organisational member; and
- advise the ARC of the new Collaborating Organisation.

e) Application as a Partner Organisation Member

If an organisation wishes to join ASTRO 3D as a Partner Organisation, the organisation may apply to the Administering Organisation at any time for membership.

Proposals involving one or more Partner Organisations must demonstrate a significant contribution of cash, in-kind or other material resources from the Partner Organisation(s), having regard to the total cost of the project and the relative contribution of each Partner Investigator.

The Executive will consider the following factors when assessing the organisation's suitability to join:

- The ARC Funding Agreement and Funding Rules eligibility criteria;
- The academic research, education and outreach contribution the organisation will make to ASTRO 3D;
- The financial and other non-financial contributions that the organisation will make to ASTRO 3D.
- The track records and proposed contributions of specified Personnel, Partner Investigators, and any other proposed ASTRO 3D members that the organisation has nominated.

Prior to approval of organisational membership, the Administering Organisation must:

- notify all Collaborating and Partner Organisations of the proposed admission of the organisation and associated investigators; and
- execute an Admission Letter (see Schedule 1) with the new organisational member; and
- advise the ARC of the new Partner Organisation.

f) Removal of Organisational Members:

The Administering Organisation can terminate organisational membership in the following circumstances.

- By mutual agreement between the parties.
- If the ARC terminates the ARC Agreement with the Administering Organisation or ARC ceases to provide all or some of the funding to the Administering Organisation.
- Where a Partner or Collaborating Organisation breaches a material term of the Collaboration Agreement or Multi-Institute Agreement and fails to remedy that breach within 30 days; or fails to provide any of its contributions and does not provide the relevant contribution within 60 days after receiving notice by the Administering Organisation to do so. Subject to the approval of the ARC, the other partners can jointly expel the defaulting partner from participating in the centre.

4) Individual Membership

a) Types of Individual Membership

There are 8 categories of Individual Membership.

- Chief Investigators - CIs
- Partner Investigators – PIs
- Associate Investigators – AIs
- Research Staff
- Affiliates
- Professional Staff
- Students
- Visitors

b) The criteria, application process, funding rules and cessation of membership for each type of ASTRO 3D individual membership are detailed in the tables following.

Member Type	Membership Criteria	Application Process	Funding	Cessation of membership
Chief Investigator (CI)	<p>A researcher nominated as a CI must:</p> <ul style="list-style-type: none"> take significant intellectual responsibility for the proposed research and any strategic decisions called for in its pursuit and communication of results; make a serious commitment to the project; meet at least one of the following two criteria at the time of nomination <ul style="list-style-type: none"> be an employee of an Collaborating Organisation for at least 50% (0.5 FTE) of his/her time; or be a holder of an Emeritus, Adjunct or equivalent appointment at an Collaborating Organisation and not have a substantive position or paid appointment elsewhere; reside predominantly in Australia for the full term of her/his participation in the project. If they do not have permanent resident status he/she must obtain temporary or permanent resident status from the Department of Immigration and Citizenship before commencing on the project. 	<p>Application should be made on the Membership Application Form available on the ASTRO 3D website and provide justification for CI membership, incl. description of planned activities with reference to corresponding science themes and sub-projects within the ASTRO 3D project plan. The Centre Director will refer the matter to the Executive Committee for decision.</p> <p>The Administering Organisation must advise the ARC of the addition of the proposed CI as part of the specified personnel at ASTRO 3D, and include the CI's CV, a letter from the CI agreeing to the membership, a letter of support from the Collaborating Organisation, and a brief explanation of the role the CI will play within the Centre and its research program.</p> <p>The ARC reserves the right to determine whether a person has the requisite capacity to perform the role of CI. If approved by the ARC, the applicant will be notified of their membership by email. The COO will provide the CI with a copy of the ARC Funding Agreement, the Collaboration Agreement, and the Multi-Institution Agreement.</p>	<p>CI's cannot draw on ASTRO 3D funds for salary support. CI's are allocated funding within the overall ASTRO 3D budget for their travel and computing needs.</p>	<p>A CI may resign their ASTRO 3D membership by providing the Administering Organisation 90 days' written notice. The Administering Organisation must advise the ARC of the change, and may be required to find a replacement CI.</p>
Partner Investigators (PI)	<p>A researcher nominated as a PI must:</p> <ul style="list-style-type: none"> take significant intellectual responsibility for the proposed research and any strategic decisions called for in its pursuit and the communication of results; and make a serious commitment to the project. <p>A researcher nominated as a PI, at the time of her/his nomination and for the full term of her/his participation in the project must not meet the eligibility criteria for a CI. A PI needs to have a clearly defined role in Theme Plans and any related project plans.</p>	<p>Application should be made on the Membership Application Form available on the ASTRO 3D website and provide justification for PI membership, incl. description of planned activities with reference to corresponding science themes and sub-projects within the ASTRO 3D project plan. The Centre Director will refer the matter to the Executive Committee for decision.</p> <p>The Administering Organisation must advise the ARC of the addition of the proposed PI as part of the specified personnel at ASTRO 3D. This will include the PI's CV, a letter from the PI agreeing to the membership, a letter of support from the Partner Organisation, and a brief explanation of the role the PI will play within the Centre and its research program.</p>	<p>Under ARC rules, PIs are not eligible to receive direct funding from the ASTRO 3D budget. ASTRO 3D nodes (i.e. Australian universities participating in ASTRO 3D) may support collaborative visits from PIs, through the ASTRO 3D Visitor category defined below.</p>	<p>A PI may resign their ASTRO 3D membership by providing the Administering Organisation 90 days' written notice. The Administering Organisation must advise the ARC of the change, and may be required to find a replacement PI.</p>

Member Type	Membership Criteria	Application Process	Funding	Cessation of membership
		<p>The ARC reserves the right to determine whether a person has the requisite capacity to perform the role of PI. If approved by the ARC, the applicant will be notified of their membership by email. The COO will provide the PI with a copy of the ARC Funding and Multi-Institution Agreements.</p>		
Associate Investigators (AI)	<p>Als need to be nominated by a Node Leader in order to become a member of ASTRO 3D. The Executive will consider their membership of ASTRO 3D, based on the direct relevance of their research to ASTRO 3D, their skills, abilities and experience.</p>	<p>Application should be made on the Membership Application Form available on the ASTRO 3D website and provide justification for AI membership incl. description of planned activities with reference to corresponding science themes and sub-projects within the ASTRO 3D project plan. The COO will refer the matter to the Executive Committee for decision. If approved, the applicant will be notified by email.</p>	<p>Als may apply for a small amount of travel funding, which will be subject to the approval of the Node Leader in March and September each year.</p>	<p>Als will normally depart at the end of their period of appointment. Als can resign from ASTRO 3D or be removed by the ASTRO 3D executive at any time.</p>
Research Staff	<p>Research staff are recruited and appointed via the process described under the ASTRO 3D Recruitment Policy.</p>	<p>Once an individual commences employment, the responsible Node Leader should ensure the COO is provided with:</p> <ul style="list-style-type: none"> • name, email address and employing institute of the proposed staff member; • line manager (and any other scientific supervisors); • position title (with cross-reference to the corresponding job ad and position in the ASTRO 3D budget); • position description; • start and end dates; • description of planned activities, with reference to corresponding science themes and sub-projects within the ASTRO 3D project plan; and • initial level of appointment. <p>Membership of Research Staff is automatic while they are employed on ASTRO 3D research.</p>	<p>Unless otherwise specified, ASTRO 3D Research Staff are allocated funding within the overall ASTRO 3D budget for their salary, travel and computing needs.</p>	<p>Research staff depart ASTRO 3D when they cease to be employed under the contract through which they were appointed to ASTRO 3D. Depending on their destination and level of continued involvement, it may be appropriate for departing ASTRO 3D research staff to transition to another membership category within ASTRO 3D (e.g., PI, AI or affiliate).</p>
Affiliates	<p>A researcher must be nominated as an ASTRO 3D Affiliate by an ASTRO 3D CI or PI and recommended by a Node Leader.</p>	<p>Application should be made on the Membership Application Form available on the ASTRO 3D website and provide justification for Affiliate membership incl. description of planned activities with reference to corresponding science themes and sub-projects within the ASTRO 3D project plan.</p>	<p>ASTRO 3D Affiliates are not eligible to receive funding from ASTRO 3D. ASTRO 3D nodes may support collaborative</p>	<p>Affiliates can resign from ASTRO 3D or be removed by the ASTRO 3D executive at any time.</p>

Member Type	Membership Criteria	Application Process	Funding	Cessation of membership
		<p>Nominations should be made in writing to the COO who will refer the matter to the Executive Committee for decision. If approved, the nominator and applicant will be notified by email.</p>	<p>visits from Affiliates, through the ASTRO 3D Visitor category defined below.</p>	
Professional Staff	<p>Professional staff are recruited and appointed via the process described under the ASTRO 3D Recruitment Policy.</p>	<p>Once an individual commences employment, the responsible Node Leader should ensure the COO is provided with:</p> <ul style="list-style-type: none"> • name, email address and employing institute of the proposed staff member; • line manager (and any other scientific supervisors); • position title and description (with cross-reference to the corresponding job ad and position in the ASTRO 3D budget); • initial level of appointment; • start and end dates; and <p>Membership of Professional Staff is automatic while they are employed on ASTRO 3D activities.</p>	<p>Unless otherwise specified, ASTRO 3D Professional Staff are allocated funding within the overall ASTRO 3D budget for their salary, travel and computing needs.</p>	<p>Professional staff depart ASTRO 3D when they cease to be employed under the contract through which they were appointed to ASTRO 3D</p>
Students	<p>ASTRO 3D Students must be working on ASTRO 3D-related research with a CI acting as their supervisor or co-supervisor, although exceptions may be considered on a case-by-case basis.</p>	<p>Before a student commences working on ASTRO 3D-related research the Primary Supervisor and/or supervising CI must ensure that an application has been submitted on the Membership Application Form for Students available on the ASTRO 3D website. The application should provide justification for membership incl. description of planned activities with reference to corresponding science themes and sub-projects within the ASTRO 3D project plan.</p> <p>The COO will refer the matter to the Executive Committee for decision. If approved, the responsible CI and student will be notified by email.</p>	<p>Each ASTRO 3D node has been allocated funding to provide travel, computing and possible salary support (top-ups of up to \$10,000 per student per year) for their students. It is at the discretion of the corresponding Node Leader as to how these funds are distributed and expended.</p>	<p>Students depart ASTRO 3D when they complete their degree requirements or ASTRO 3D-related activities, whichever occurs first. Depending on the level of continued involvement, it may be appropriate for students to transition to another membership category e.g. AI, Affiliate</p>

Member Type	Membership Criteria	Application Process	Funding	Cessation of membership
Visitors	Once every six months (March and September) the ASTRO 3D executive will issue an invitation to the CIs and PIs of ASTRO 3D to apply to have ASTRO 3D visitors. PIs, AIs and affiliates are, in addition to other academics, also eligible to be visitors.	<p>An ASTRO 3D Visitor must be nominated by an ASTRO 3D CI or PI. Nominations should be made in writing to the COO on the Visitor Application Form.</p> <p>The COO will refer the matter to the Science Management Committee for decision.</p> <p>Membership of Visitors is automatic while they are engaged on ASTRO 3D activities.</p>	<p>ASTRO 3D nodes will provide office-space, a computer and access to all required research tools such as databases and library assistance. The visitor will be expected to participate in ASTRO 3D life as requested e.g. presentations at weekly seminars, and assisting with graduate research students. A nominal amount of funding is available up to a total of \$15,000 for all visitors each year.</p>	<p>Visitors can resign from ASTRO 3D or be removed by the ASTRO 3D executive at any time. Normally visitor membership will end on his/her departure date, however it will sometimes be possible for these members to transition to AI or affiliate status at this time.</p>