



Australian Government

Australian Research Council

Industrial Transformation Training Centres
Funding Rules for funding commencing in 2013

Australian Research Council Act 2001

I, CHRIS EVANS, Minister for Tertiary Education, Skills, Science and Research, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Funding Rules under section 60 of that Act.

Dated 16 October 2012

Chris Evans

Minister for Tertiary Education, Skills, Science and Research

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Key Dates

Please refer to the Important Dates page on the ARC website for updates on the closing time for submission of Proposals at www.arc.gov.au/media/important_dates.htm.

Contacts

In the first instance, participants should direct all queries regarding ARC funding schemes to their Administering Organisation's Research Office or equivalent.

ARC Contacts:

by mail to:

Industrial Transformation Training Centres
Coordinator
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

by courier to:

Industrial Transformation Training Centres
Coordinator
Australian Research Council
Level 2, 11 Lancaster Place, Majura Park
CANBERRA ACT 2609

Email: ITTC@arc.gov.au

Phone: 02 6287 6600

Fax: 02 6287 6638

Web: www.arc.gov.au

Appeals must be addressed and sent:

by mail to:

The Appeals Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or by courier to:

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Majura Park
CANBERRA ACT 2609

Or by email to:

appeals@arc.gov.au

Other:

RMS User IDs:

Email: rms@arc.gov.au

Post-award enquiries and report submission:

Email: ARC-postaward@arc.gov.au

1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Industrial Transformation Training Centres* Funding Rules for funding commencing in 2013.

2. Commencement

These Funding Rules shall take effect upon registration on the Federal Register of Legislative Instruments.

3. Definitions

In these Funding Rules, unless the contrary intention appears:

Adjunct or Emeritus Appointment or equivalent means that an Eligible Organisation has a formal agreement with a researcher which establishes an ongoing association with the Eligible Organisation, of the nature of an emeritus or honorary academic or visiting fellow. The ARC may seek documentary evidence of such an association if it is considered necessary.

Administering Organisation means an Eligible Organisation which submits a Proposal for funding under the scheme and which will be responsible for the administration of the funding if the Project is approved for funding.

ARC means the Australian Research Council, as established under the ARC Act.

ARC Act means the *Australian Research Council Act 2001*.

ARC Award means a named Award within any ARC scheme where the salary is funded wholly or partly by the ARC.

ARC College means a body of scholars appointed to assist the ARC to identify research excellence, moderate external assessments and recommend fundable Proposals.

ARC Fellowship means a named Fellowship position within any ARC scheme where the salary is funded wholly or partly by the ARC.

Cash Contribution means the cash funding from an organisation which is transferred to and managed by the Administering Organisation.

Chief Investigator (CI) means a researcher who satisfies the eligibility criteria for a CI under these Funding Rules.

Commonwealth means the Commonwealth of Australia.

Commonwealth Fellowship means a position held by a researcher where the salary is funded wholly or partly by the Commonwealth and where the researcher in that position was a named participant in a Proposal.

Conflict of Interest means any conflict of interest, any risk of a conflict of interest and any apparent conflict of interest arising through a party engaging in any activity, participating in any association, holding any membership or obtaining any interest that is likely to conflict with or restrict that party participating in the Project.

Consultancy means the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s).

Eligible Organisation means an organisation listed in Appendix A.

Funding Agreement means the agreement entered into by the ARC and the Administering Organisation when a Proposal from that organisation is approved for funding.

GST has the meaning as given in section 195-1 of the *A New Tax System (Goods and Services Tax) Act 1999*.

Industrial Transformation Priorities means priority research areas identified by the ARC and updated from time-to-time on the ARC website at www.arc.gov.au.

Industrial Transformation Training Priorities means research areas identified by the ARC and updated from time-to-time on the ARC website at www.arc.gov.au.

In-kind Contributions means a contribution of goods, services, materials or time to the Project from an individual, business or organisation. These are calculated based on the current market rates/valuations/rentals/charges (that is in the financial year of the date of the Proposal's submission) of the costs of labour, work spaces, equipment and databases. The calculations covering time and costs should be documented by the Administering Organisation. The ARC may require these calculations to be audited from time-to-time.

Medical and Dental Research means research and/or training primarily and substantially aimed at understanding or treating a human disease or health condition, and as defined on the ARC website at www.arc.gov.au/applicants/md_research.htm.

Minister means the Minister responsible for the administration of the ARC Act, or the Minister's delegate.

NCGP means the *National Competitive Grants Program*.

Other Eligible Organisation means an Eligible Organisation listed on the Proposal which is not the Administering Organisation.

Other Organisation means an organisation which is listed on an *Industrial Transformation Training Centres* Proposal and is not an Eligible Organisation or a Partner Organisation.

Partner Investigator (PI) means a researcher who satisfies the eligibility criteria for a PI under these Funding Rules.

Partner Organisation means a national or international organisation, other than an Eligible Organisation, which is to be a cash and/or in-kind contributor to the Project and satisfies the eligibility requirements for a Partner Organisation.

Project means a Proposal approved by the Minister to receive funding from the ARC in accordance with these Funding Rules.

Proposal means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.

Research Environment means the laboratory, department, school, centre or institute within an Administering Organisation, Other Eligible Organisation or Partner Organisation where research will be undertaken.

Research Office means a business unit within an Eligible Organisation that is responsible for administrative contact with the ARC regarding Proposals and Projects.

RMS means the ARC's online Research Management System.

Start-Up Company are companies that are commercialising research and development (R&D) activities and have average annual revenue over the previous two years of income that does not exceed \$5 million per year. The start-up must have a majority of its employees (by number) and assets (by value) inside Australia.

Training Centre means the specific activity or Project to be implemented under the *Industrial Transformation Training Centres* scheme.

Training Centre Director means a researcher who satisfies the eligibility criteria for a Training Centre Director under these Funding Rules.

4. Introduction

4.1 Overview

- 4.1.1 These Funding Rules are current as at October 2012 and have been prepared in accordance with the requirements of the ARC Act in force then.
- 4.1.2 The Industrial Transformation Research Program includes several elements; these Funding Rules specifically address one element, the *Industrial Transformation Training Centres*, a scheme that fosters close partnerships between university-based researchers and other research end-users to provide innovative Higher Degree by Research (HDR) and postdoctoral training for the end-user focused research industries vital to Australia's future. Over a five-year period, the ARC will award funding for up to 50 Training Centres with funding for at least ten (10) Higher Degree by Research candidates and three (3) postdoctoral fellows in each Training Centre.
- 4.1.3 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development (R&D) comprising of "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man [human kind], culture and society, and the use of this stock of knowledge to devise new applications"¹.

4.2 Industrial Transformation Training Centres

- 4.2.1 The objectives of the *Industrial Transformation Training Centres* scheme are to:
 - a. foster opportunities for Higher Degree by Research candidates and postdoctoral fellows to pursue industrial training and to enhance competitive research in collaboration between universities and organisations outside the Australian higher education sector; and
 - b. strengthen Australia's Industrial Transformation Priorities to supplement the capabilities of industries and other research end-users.

4.3 Selection Criteria

- 4.3.1 All Proposals that meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:

¹ OECD (2002), *Frascati Manual: Proposed Standard Practice for Survey on Research and Experimental Development*, Paris (Page 30)

- a. Proposed Project (30%)
 - Does the method and approach proposed address the objectives of the *Industrial Transformation Training Centres* scheme?
 - Is the conceptual/theoretical framework, cross-disciplinary, innovative and original?
 - Will the Project build skills and capacity in end-user focussed research?
 - Will the aims, concepts, methods and results significantly advance knowledge?
- b. Feasibility and Benefit (30%)
 - Does the research Project have a wide level of collaboration, including the development of national and international networks and linkages?
 - Does the research address the needs of industries and communities as articulated in Australia's Industrial Transformation Training Priorities for 2013?
- c. Collaborative Research Environment (20%)
 - Is there evidence that the Partner Organisation(s) have the facilities and personnel to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the life of the Project?
 - Does the Research Environment provide high-quality intellectual support for the Project?
 - Are the necessary facilities to support the proposed research (physical, technical, access to infrastructure, etc.) available?
 - Are there adequate strategies to encourage dissemination, commercialisation, and the promotion of research outcomes?
 - Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research project?
 - Is there evidence that the Partner Organisation(s) have the capacity to support the Project?
 - What are the collaborative arrangements for the organisation(s) and team?
- d. Training Centre Director and Supervisors (20%)
 - Research opportunity and performance evidence (ROPE).
 - Experience in engagement with industrial and/or end-user focussed research.
 - Evidence that the Training Centre Director and supervisors have the time and capacity to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the life of the Project.
 - Time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s).

5. Funding

5.1 Level and Period of Funding

- 5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- 5.1.2 Total funding provided by the ARC under the *Industrial Transformation Training Centres* scheme is a minimum of \$600,000 per year to a maximum of \$1 million per year.
- 5.1.3 A Project may be applied for and awarded funding for three (3) consecutive years.
- 5.1.4 Each Training Centre should fund at least ten (10) Higher Degree by Research candidates and three (3) postdoctoral fellows at the rates as indicated in subsection 5.2.1e.
- 5.1.5 The ARC reserves the right to recommend funding of a Proposal at levels that may differ from those requested.
- 5.1.6 The ARC may, subject to availability of funding and satisfactory progress, renew funding for the Centre for a period of up to three (3) years.
- 5.1.7 Funding for approved Projects will commence with effect 1 January 2013, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act, and continued satisfactory progress of the Project.

5.2 Budget Items Supported

- 5.2.1 Budget items that directly support a research Project may be funded, including:
 - a. Domestic and international travel costs (economy) for Higher Degree by Research candidates and postdoctoral fellows funded under the Training Centre, including placement in Partner Organisation(s) in Australia and overseas, not exceeding \$50,000 over the life of the Project.
 - b. Expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:
 - i. translation services, transcriptions services;
 - ii. workshop services, data collection and analysis services; and
 - iii. purchase of bibliographical or archival material (electronic or hard copy).
 - c. Field or survey research expenses (including travel) for CIs, PIs and research support personnel.
 - d. Maintenance and access to infrastructure and equipment required for the Project. Funding will not be provided for infrastructure or equipment that is deemed to be for broad general use.
 - e. Personnel:
 - i. Higher Degree by Research candidates stipends at a minimum of \$28,715 (2012 \$) per year for candidates enrolled at an Eligible Organisation; and

- ii. postdoctoral fellows, at a minimum of \$97,888 (2012\$) per year for researchers appointed for at least half-time (50 per cent of Full Time Equivalent) at an Eligible Organisation for the duration of the Project.
 - f. Publication and dissemination of Project outputs and outreach activity costs may be supported at up to two (2) per cent of total ARC funding awarded to the Project, and excludes fees for patent application and holding. This does not need to be requested as an individual budget item. The ARC encourages publication in publicly accessible outlets and the depositing of data and any publications arising from a Project in an appropriate subject and/or institutional repository.
 - g. Relocation costs for Higher Degree by Research candidates and postdoctoral fellows subject to the policies of the Administering Organisation.
 - h. Specialised computer equipment and software essential to the Project.
- 5.2.2 All eligible direct costs must be justified in the Proposal to the satisfaction of the ARC.

5.3 Budget Items Not Supported

- 5.3.1 Budget items that will not be supported by ARC funding and should not be requested in the budget include:
- a. 'bench fees' or similar laboratory access fees levied by the institution;
 - b. capital works and general infrastructure costs, in whole or in part;
 - c. costs not directly related to research, for example, professional membership fees, fees for patent application and holding, visas, relocation costs, insurance, and mobile phones (purchase or call charges);
 - d. domestic and international travel costs for the Training Centre Director, CIs or PIs to work on the Project;
 - e. fees for international students or Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students; and
 - f. salaries and/or on-costs, in whole or in part, for the Training Centre Director, CIs or PIs.
- 5.3.2 The following basic facilities must be provided and funded by the Administering Organisation:
- a. access to a basic library collection;
 - b. access to film or music editing facilities;
 - c. accommodation (for example, laboratory and office space, suitably equipped and furnished)
 - d. provision of basic computer facilities such as desktop computers, portable computer devices, printers, word processing and other standard software;
 - e. standard reference materials or funds for abstracting services;
 - f. use of photocopiers, telephones, mail, fax, email and internet services; and
 - g. website hosting.

- 5.3.3 The Administering Organisation must ensure that any organisational In-kind Contributions in the budget section of the Proposal does not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.

5.4 Research/Activities Not Supported

- 5.4.1 Except where such activities meet the definition of research in subsection 4.1.3 the *Industrial Transformation Training Centres* scheme does not support production of:
- a. descriptive data compilations, catalogues or bibliographies;
 - b. teaching materials; or
 - c. compilation of data, computer programs, research aids and tools.
- 5.4.2 The *Industrial Transformation Training Centres* scheme does not support:
- a. Projects where one or more Partner Organisation(s) is seeking expert external assistance, not available within their own organisation, in order to develop specific applications or outputs which:
 - i. involve little innovation or are low risk; and/or
 - ii. the ARC deems to be essentially contracted research or a Consultancy arrangement.
 - b. Projects that do not significantly enhance links with organisations outside the Australian publicly funded research and higher education sectors.
 - c. Medical and Dental Research, defined as research and/or training primarily and substantially aimed at understanding or treating a human disease or human health condition. Where a proposal satisfies all other eligibility requirements set out in the Funding Rules, the ARC may support Projects where the primary aim is a commercial outcome in addition to R&D and the Project does not include clinical trials.

6. Organisational Types, Roles, Eligibility and Contributions

6.1 Eligible Organisations General Requirements

- 6.1.1 A Proposal may only be submitted by an Eligible Organisation listed at Appendix A.
- 6.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations.
- 6.1.3 The Administering Organisation or Eligible Organisation(s) must demonstrate a significant contribution of cash, in-kind or other material resources, having regard to the total cost of the Project and the relative contribution of the Training Centre Director or each CI.
- 6.1.4 The Administering Organisation will be responsible for ensuring that:
- a. Higher Degree by Research candidates and postdoctoral fellows funded under the *Industrial Transformation Training Centres* scheme conduct research for a minimum of one (1) year—full-time placement within a Partner Organisation (outside the higher education sector) over the life of the Project.

- b. Higher Degree by Research candidates and postdoctoral fellows funded under the *Industrial Transformation Training Centres* scheme meet all the conditions in these Funding Rules.

6.2 Partner Organisation General Requirements

- 6.2.1 A Proposal must include at least one Australian Partner Organisation.
- 6.2.2 Partner Organisation participation is required for the duration of the Project.
- 6.2.3 To be eligible as a Partner Organisation, an organisation cannot be:
 - a. an Eligible Organisation;
 - b. a controlled entity of any Eligible Organisation; or
 - c. an entity (for example a joint venture) where more than 50 per cent is owned by one or more Eligible Organisations.
- 6.2.4 For each Partner Organisation, three (3) conditions must be met. There must be:
 - a. evidence of prior or on-going collaboration between the Partner Organisation and the Administering Organisation;
 - b. no duplication of Commonwealth funding for the research and/or activities funded for the Project; and
 - c. a contribution of cash and/or in-kind or other material resources from each Partner Organisation, having regard to the total cost of the Project and the relative contribution of each PI.
- 6.2.5 A Proposal should include details of the collaborative arrangements proposed, including how each Partner Organisation is involved in the Project, how the Project fits into each Partner Organisation's overall strategic plan and how the Project is of value to each of the Partner Organisation(s) involved.
- 6.2.6 A Proposal submitted in RMS must include a letter of support (of no more than two A4 pages) from each Partner Organisation on its letterhead signed by the Chief Executive Officer, or delegate, including a brief profile of the organisation and details of the Cash and In-kind Contributions.

6.3 Partner Organisation Contribution Requirements

- 6.3.1 Contributions from Partner Organisation(s), cash and in-kind, must be specific to the Project and must not be part of a broader contribution to an Administering Organisation.
- 6.3.2 The Proposal must demonstrate that the combined Cash and In-kind Contributions to the Project are sufficient to support the research projects of the Higher Degree by Research candidates and postdoctoral fellows in the Training Centre.
- 6.3.3 The ARC may provide funding for Project costs to match eligible In-kind contributions where the Partner Organisation(s) are:
 - a. a registered charity;
 - b. a not-for-profit community organisation;
 - c. Start-Up Company; or a
 - d. museum or herbaria.

- 6.3.4 The ARC may provide funding for Project costs to match eligible Cash Contributions from Partner Organisation(s) such that the total funds (including Higher Degree by Research stipends and postdoctoral fellow salaries) awarded by the ARC will not exceed \$1 million per year.
- 6.3.5 Cash Contributions cannot be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory for the purposes of research nor from funds previously used to leverage government research funding.
- 6.3.6 Cash Contributions may not include ‘top-ups’ for Higher Degree by Research Stipends or salaries for CIs, PIs or postdoctoral fellows.
- 6.3.7 Partner Organisation(s) contributions must be specified in Australian dollars and, subject to these Funding Rules, contributed at the specified level regardless of currency fluctuations.
- 6.3.8 In-kind Contributions must be essential and central to the Project. It is the responsibility of the Administering Organisation to establish the merit of the case for recognition of In-kind Contributions.
- 6.3.9 The ARC reserves the right to determine the levels of Partner Organisation contributions and may determine contributions to be at levels that may differ from those submitted in a Proposal.
- 6.3.10 Each Partner Organisation’s letter of support must:
- a) certify that no part of its Cash Contribution is drawn from funds previously appropriated or awarded from government sources for the purposes of research;
 - b) demonstrate the source of its Cash Contribution; and
 - c) certify that it will meet the requirements outlined in a standard Funding Agreement, including the requirement to enter into arrangements regarding intellectual property.

6.4 Eligibility for Concessional Tax Treatment

- 6.4.1 Partner Organisation contributions to the *Industrial Transformation Training Centres* may be eligible for a R&D Tax Incentive to the extent that the expenditure is incurred by an eligible company in respect of eligible R&D activities and provided that all other relevant requirements are met.
- 6.4.2 Detailed information on the eligibility requirements for the Australian Government’s R&D Tax Incentive can be found at www.ausindustry.gov.au.

6.5 Other Organisations

- 6.5.1 Organisations that are not Eligible Organisations and not Partner Organisations but are listed on a Proposal will be Other Organisations.

7. Roles and Eligibility for Researchers

7.1 Researcher Roles and General Eligibility

- 7.1.1 Roles that may be nominated in a Proposal are:
- a. Training Centre Director;
 - b. Chief Investigator (CI); or
 - c. Partner Investigator (PI).

- 7.1.2 The following roles must be nominated in a Proposal:
- a. at least two (2) CIs from the Administering Organisation, where one (1) will be the Training Centre Director;
 - b. at least one (1) CI from each Eligible Organisation; and
 - c. at least one (1) PI from each Partner Organisation.

The Training Centre Director and all CIs and PIs nominated in a Proposal must satisfy the eligibility criteria for the role they are to perform at the commencement of and for the duration of the Project.

- 7.1.3 A researcher nominated as a Training Centre Director, CI or PI must take significant intellectual responsibility for the proposed Training Centre, its conception, and any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment to the Project. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.
- 7.1.4 A researcher undertaking undergraduate studies or higher degree by research is not eligible to be a Training Centre Director or CI on the Project.
- 7.1.5 If the ARC considers that a researcher nominated as a Training Centre Director, CI or PI does not meet the eligibility criteria for the role that researcher is to perform, the Proposal may be deemed ineligible.
- 7.1.6 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the nominated CIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.
- 7.1.7 A researcher cannot participate as a Training Centre Director or CI on a Proposal if they hold a position as a Director, Board Member or have a financial interest (salary, contract or equity) in a proposed Partner Organisation for a Project. This exclusion does not confer PI eligibility under 7.4.1.a.

7.2 Eligibility Criteria for a Training Centre Director

The Training Centre Director must meet all the eligibility criteria for a CI and must be employed by the Administering Organisation at the commencement of and for the duration of the Project.

- 7.2.1 The Training Centre Director will be responsible for implementing the strategies and managing the research Project. The Training Centre Director must coordinate the research effort and reporting structures across Eligible Organisation(s) and Partner Organisation(s).
- 7.2.2 The Training Centre Director is expected to be fully committed to the activities of the Project. If a Training Centre Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.
- 7.2.3 If a Proposal has been approved for funding and the Training Centre Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Training Centre Director provided that:
- a. approval is obtained from the ARC for the change in Training Centre Director; and

- b. a replacement Training Centre Director meets the eligibility criteria for a Training Centre Director and those for a CI at the time of her/his nomination and for the full term of her/his participation in the Project, and the reasons for replacement justified to the satisfaction of the ARC.

7.3 Eligibility Criteria for Chief Investigators (CI)

- 7.3.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at the commencement of and for the duration of the Project:
 - a. be an employee for at least half-time (50 per cent of Full Time Equivalent) at **one** Eligible Organisation; or
 - b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation listed in Appendix A and not have a substantive paid position elsewhere.
- 7.3.2 The CI must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The CI must have the capacity to make a serious commitment to supervising the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.
- 7.3.3 The CI must reside predominantly in Australia for the full life of the Project. The CI may seek approval from the Administering Organisation to undertake fieldwork, or study leave, directly related to the Project. Such absences must not total more than half the Project funding period.
- 7.3.4 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that any replacement CI is approved by the ARC and meets the CI eligibility criteria.

7.4 Eligibility Criteria for Partner Investigators (PI)

- 7.4.1 A participant nominated as a PI on a Proposal **must** not:
 - a. meet the eligibility criteria for a CI; or
 - b. be an employee of an Eligible Organisation
- 7.4.2 Notwithstanding 7.4.1.b a researcher who is an employee of an Eligible Organisation listed in Appendix A who does not reside predominantly in Australia may be a PI.
- 7.4.3 A PI **must**:
 - a. take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results; and/or
 - b. have the experience and capacity to provide effective supervision, support and mentoring of research personnel associated with the Project; and/or
 - c. have the relevant skills and experiences to effectively manage a similar scale research Project.

A PI must have the capacity to make a commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

- 7.4.4 If a Proposal has been approved for funding and a PI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided any replacement PI is approved by the ARC and meets the PI eligibility criteria.

8. Selection of researchers awarded under the *Industrial Transformation Training Centres* scheme

8.1 General

- 8.1.1 Once successful proposals for the *Industrial Transformation Training Centres* scheme have been approved and announced, the successful Administering Organisation must then undertake a process of competitive national and international recruitment for Higher Degree by Research candidates and postdoctoral fellows to be appointed under the scheme. The recruitment and selection processes must:
- include competitive recruitment practices involving advertisement, selection and offers; and
 - demonstrate an effort to attract and recruit external and international candidates.
- 8.1.2 Details of the selection and recruitment process must be made available on request to the ARC for periodic audit purposes. This will impact upon any requests for an extension of Training Centre funding.
- 8.1.3 The recruitment process described in the above subsection 8.1.1 must be completed within six (6) months of the commencement of Training Centre funding.

8.2 Roles and Eligibility for appointed Higher Degree by Research candidates and postdoctoral fellows

- 8.2.1 For the duration of their candidature, Higher Degree by Research candidates recruited to and funded under the *Industrial Transformation Training Centres* scheme must be enrolled in a Higher Degree by Research at an Eligible Organisation.
- 8.2.2 For the duration of the Project, postdoctoral fellows funded under the *Industrial Transformation Training Centres* scheme must hold a PhD qualification and be an employee for at least half-time (50 per cent of Full Time Equivalent) at an Eligible Organisation—this excludes honorary, adjunct or equivalent appointments.
- 8.2.3 The Higher Degree by Research candidates and postdoctoral fellows must reside predominantly in Australia for the full life of the Project and may seek approval from the Administering Organisation to undertake fieldwork, or placement in organisation(s) directly related to the Project.
- 8.2.4 The Higher Degree by Research candidates and postdoctoral fellows funded under the *Industrial Transformation Training Centres* scheme cannot commence another ARC Award or Fellowship while they are employed with funds from the Project.

9. Proposals

9.1 Number of Proposals and Cross-Scheme Eligibility

- 9.1.1 A CI or Training Centre Director may submit and/or be funded concurrently for a maximum of two (2) Projects under the Industrial Transformation Research Program

- 9.1.2 A CI or Training Centre Director cannot be involved in more than the maximum number of Projects permitted in 2013. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding at 1 January 2013 and the number of Proposals submitted for funding commencing 1 January 2013. A Project is considered to be funded for the years set out in the Funding Agreement.
- 9.1.3 Administering Organisations may submit up to 10 Proposals in the same funding round.
- 9.1.4 A Proposal may only be submitted once in the same funding round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.
- 9.1.5 Applicants should note the eligibility criteria for access to other funding schemes, as expressed in the Funding Rules for those schemes. The ARC reserves the right to change these criteria in future funding rounds. Funding Rules for all ARC schemes may be found on the ARC website at www.arc.gov.au.

9.2 Proposal Eligibility and Duplication

- 9.2.1 The ARC will not duplicate funding for research, including infrastructure funded by the Commonwealth as at 1 January 2013.
- 9.2.2 The Proposal must list all current funding and requested funding for the Training Centre Director, CIs and PIs under any ARC schemes, including Projects, Awards and Fellowships, or any other Commonwealth funding scheme.
- 9.2.3 The Proposal cannot be the same or similar (in whole or in part) to a project described in another current ARC-submitted Proposal.
- 9.2.4 The ARC will assess whether a Proposal meets the eligibility requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.
- 9.2.5 A decision under subsection 9.2.4 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal to the next level of assessment.

10. Submission of Proposals

10.1 Proposals

- 10.1.1 The Proposal must be submitted as a mature research plan presenting the proposed Training Centre ready for implementation and must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.
- 10.1.2 All details in the Proposal must be current at the time of submission.

10.2 Submission of Proposals in the RMS

- 10.2.1 Administering Organisations must submit Proposals through the RMS unless otherwise advised by the ARC.
- 10.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS form and the *Instructions to Applicants*.

10.3 Closing Time for Proposals

- 10.3.1 The online form completed within the RMS must be submitted by the closing date on the Important Dates page on the ARC website at www.arc.gov.au/media/important_dates.htm.
- 10.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- 10.3.3 Proposals may be withdrawn by notice in writing to the ARC by the withdrawal date on the Important Dates page on the ARC website at www.arc.gov.au/media/important_dates.htm.

10.4 Certification in the RMS

- 10.4.1 The Administering Organisation must certify a Proposal online in the RMS. Research Offices should ensure that the Research Office delegate role is authorised in the RMS to certify and submit Proposals.
- 10.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

10.5 Conflict of Interest

- 10.5.1 Each party involved in a Proposal must declare at the date of submission and describe in the application any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.
- 10.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the *Australian Code for the Responsible Conduct of Research (2007)* and any relevant successor document.

11. Selection and Approval Process

11.1 Assessment and Selection Process for Proposals

- 11.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister based on any number of assessments or solely on the basis of its expertise.
- 11.1.2 All Proposals will be considered against eligibility criteria and compliance with the Funding Rules.
- 11.1.3 All Proposals may be:
 - a. assigned to independent assessors from a range of organisations, who will assess and report, and may provide written comments, on the Proposal against the selection criteria; and
 - b. ranked and allocated a budget, relative to other Proposals, by an ARC Selection Advisory Committee, on the basis of the Proposal, any assessors' reports and any rejoinder.
- 11.1.4 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of ARC committees and ARC staff. Details of these procedures are available on the ARC website at http://www.arc.gov.au/about_arc/coe_guidelines.htm#conflict.

11.2 Rejoinder

- 11.2.1 The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation or to investigators.

11.3 Request Not to Assess

- 11.3.1 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a 'Request Not to Assess' form available on the ARC website at www.arc.gov.au/applicants/request_notassessform.htm by the Request Not to Assess date on the Important Dates page on the ARC website at www.arc.gov.au/media/important_dates.htm. The ARC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

11.4 Recommendations and Offer of Funding

- 11.4.1 In accordance with the ARC Act, the ARC Chief Executive Officer will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.
- 11.4.2 Under the ARC Act, the Minister cannot approve funding for any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.
- 11.4.3 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding offered; and provided with a copy of a Funding Agreement for signing. Outcomes of the selection process are also made available on the ARC website.
- 11.4.4 The Minister may vary the funding approval if the ARC recommends that the particular circumstances of the Project warrant variation. Any variation or change will accord with the *Industrial Transformation Training Centres* Funding Rules and Funding Agreement.
- 11.4.5 If the ARC funding approved for a Project varies from the amount requested, pro rata adjustments may be made to the Partner Organisation contributions.

12. Appeals Process

- 12.1.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the applicant has been treated fairly and consistently in the context of the selection procedures.
- 12.1.2 Appeals will be considered only against administrative process issues and not against committee recommendations, assessor ratings and comments or the assessment outcome.
- 12.1.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at www.arc.gov.au/applicants/appeals.htm, authorised by a Deputy Vice Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm on the date of submission of the appeal.

- 12.1.4 Appeals must be addressed and sent to the address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy appeal submissions.
- 12.1.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options.

13. Reporting Requirements

13.1 Progress Reports

- 13.1.1 Administering Organisations must submit reports to the ARC concerning the Training Centres in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the ARC website at http://www.arc.gov.au/applicants/reported_requirements.htm.
- 13.1.2 The Training Centres will be required to report on a range of objectives (and related indicators) to be developed by the ARC and as outlined in the Proposal every twelve (12) months after the commencement of Projects.
- 13.1.3 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding funding will be recovered by the ARC.

13.2 End of Year Reports

- 13.2.1 The Administering Organisation must submit an End of Year Report including details of Partner Organisation Cash and In-kind Contributions, by 31 March in the year following each calendar year for which the funding was awarded in accordance with the instructions to be provided by the ARC each year.

13.3 Final Report

- 13.3.1 A Final Report must be submitted for the Project within six (6) months of the final payment or within six (6) months of the final approved carryover funds as directed by the ARC. Details of ARC reporting requirements can be found on the ARC website at http://www.arc.gov.au/applicants/reported_requirements.htm.
- 13.3.2 The Final Report must justify why any publications from the Project have not been deposited in appropriate repositories within twelve (12) months of publication. The Final Report must outline how data arising from the Project has been made publicly accessible, where appropriate.
- 13.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by the associated Training Centre Director and CIs with the Project.
- 13.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

13.4 Audited Financial Statement

- 13.4.1 In accordance with section 58 of the ARC Act, the Administering Organisation must submit an Audited Financial Statement by 30 June for each year following each calendar year for which the funding was awarded.

- 13.4.2 In completing the Audited Financial Statement, the Administering Organisation must ensure that the amount shown in that statement as ‘approved carry forward funds’ is the same as the amount (if any) for which approval was given by the ARC to carryover in the End of Year Report.

14. Fundamental Principles of Conducting Research

14.1 Ethics and Research Practices

- 14.1.1 All Proposals and ARC-funded research Projects must conform to the principles outlined in the following and their successor documents:
- a. *Australian Code for the Responsible Conduct of Research (2007)*;
 - b. as applicable, the *National Statement on Ethical Conduct in Human Research (2007)*;
 - c. as applicable, codes on animal research promulgated by the NHMRC.

- 14.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

14.2 Applicable Law

- 14.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988* and the *Freedom of Information Act 1982*.

14.3 Confidentiality

- 14.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:
- a. disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
 - b. disclosed to ARC personnel to enable effective management or auditing of the *ARC Industrial Transformation Training Centres* scheme or any Funding Agreement;
 - c. disclosed by the ARC to the Minister;
 - d. shared by the ARC within the agency or with another Commonwealth Department or agency, where this serves the Commonwealth’s legitimate interests;
 - e. authorised or required by law to be disclosed;
 - f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
 - g. in the public domain.
- 14.3.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.
- 14.3.3 Notwithstanding the above, and in addition to the exemptions listed at subsection 14.3.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of nominated Training Centre

Director, CIs or PIs and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the Project; the title and summary descriptions of the Project and its intended outcomes; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

- 14.3.4 In making public information about a Proposal that has been approved for funding, the ARC may use a Project description, including title and summary, which may differ from that provided in the Proposal.

14.4 Intellectual Property

- 14.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from the Project.
- 14.4.2 The Administering Organisation must adhere to an Intellectual Property policy, approved by the Administering Organisation's governing body, which has as one of its aims the maximisation of benefits arising from research. Unless otherwise approved by the Commonwealth, the Administering Organisation's Intellectual Property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* as amended from time to time.

14.5 Incomplete or Misleading Information

- 14.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 14.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- 14.5.3 Examples of misleading information and misconduct include:
- a. providing fictitious research opportunity and performance evidence;
 - b. plagiarism;
 - c. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
 - d. making false claims in relation to qualifications and/or appointments;
 - e. making false certifications in the RMS certification; or
 - f. failing to disclose to the ARC the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

Appendix A Eligible Organisations

The organisations listed below are eligible to apply for funding under these Funding Rules.

New South Wales

Charles Sturt University
Macquarie University
Southern Cross University
The University of New England
The University of New South Wales
The University of Newcastle
The University of Sydney
University of Technology, Sydney
University of Western Sydney
University of Wollongong

Victoria

Australian Catholic University
Deakin University
La Trobe University
MCD University of Divinity
Monash University
Royal Melbourne Institute of Technology (RMIT University)
Swinburne University of Technology
The University of Melbourne
University of Ballarat
Victoria University

Queensland

Bond University
Central Queensland University
Griffith University
James Cook University
Queensland University of Technology
The University of Queensland
The University of the Sunshine Coast
University of Southern Queensland

Western Australia

Curtin University of Technology
Edith Cowan University
Murdoch University
The University of Notre Dame Australia
The University of Western Australia

South Australia

The Flinders University of South Australia
The University of Adelaide
University of South Australia

Tasmania

University of Tasmania

Northern Territory

Charles Darwin University
Batchelor Institute of Indigenous Tertiary Education

Australian Capital Territory

The Australian National University
University of Canberra
Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)