Funding Agreement
between the
Commonwealth of Australia
as represented by the
Australian Research Council
and
<Administering Organisation>
regarding funding for
_Special Research Initiative for Antarctic Gateway Partnership_
to commence in 2014
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_Funding Agreement for the Special Research Initiative for Antarctic Gateway Partnership for funding commencing in 2014_
**Parties & Recitals**

THIS AGREEMENT is made on the _____ day of _____________ 20_____

between the

COMMONWEALTH OF AUSTRALIA (‘the Commonwealth’), as represented by and acting through the Australian Research Council (‘the ARC’) [ABN 35 201 451 156]

and

<<Administering Organisation>> (‘the Administering Organisation’)

WHEREAS:

A. The Commonwealth through the ARC operates the *Linkage Program* (‘the Scheme’);

B. The Commonwealth accepts that the Administering Organisation is an eligible body for the purposes of the Scheme, and the Commonwealth may provide financial assistance to support the Administering Organisation to conduct the Initiative including the approved Funding elements, being those described in Schedule A;

C. The Commonwealth is required by law to ensure the accountability of Funding and, accordingly, the Administering Organisation is required to be accountable for all Commonwealth Funding it receives under this Agreement; and

D. The Commonwealth wishes to provide Funding under the Scheme to the Administering Organisation for the purposes, and subject to the terms and conditions, set out in this Agreement.

IT IS HEREBY AGREED as follows:

1. **Definitions**

   In this Agreement, unless the contrary intention appears:

   ABN has the meaning as given in section 41 of the *A New Tax System (Australian Business Number) Act 1999*.

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

   Annual Report means the report described in clause 25.4.

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

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

   ARC website is [www.arc.gov.au](http://www.arc.gov.au).

   Asset includes personal, real or incorporeal property, but shall not include intellectual property.
Chief Executive Officer or CEO means the occupant of the position from time to time of the Chief Executive Officer of the ARC, or the delegate, as established under the ARC Act.

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

Commonwealth means the Commonwealth of Australia.

Confidential Information means any information which the parties agree is confidential or that is by its nature confidential.

Conflicts 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. The ARC Conflict of Interest and Confidentiality Policy is available on the ARC website at www.arc.gov.au.

Department means the Commonwealth Department of Education.

Eligible Organisation means an organisation listed at B7.1 of the Funding Rules.

End of Year Report means the report described in clause 25.3.

Final Report means the report described in clause 25.5.

FTE means full-time equivalent.

Funding or Funds means the amount or amounts payable under this Agreement for the Initiative as specified in Schedule A.

Funding Agreement or the Agreement means this document.

Funding Period means the approved period set out in Schedule A for the Initiative, or as otherwise approved in writing by the ARC.

Funding Rules means the Funding Rules for schemes under the Linkage Program for 2014 – Special Research Initiative for Antarctic Gateway Partnership.

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

Initiative means the Special Research Initiative for Antarctic Gateway Partnership, as described in Schedule A.

Intellectual Property includes all copyright and neighbouring rights, all rights in relation to inventions (including patent rights), plant varieties, registered and unregistered trademarks (including service marks), registered designs, Confidential Information (including trade secrets and know-how and circuit layouts), and all other rights resulting from intellectual activity in the industrial, scientific, literary or artistic fields.

Key Performance Indicators means a set of quantifiable measures that the Initiative uses to monitor and report on progress of research outcomes.

Material includes documents, equipment, software, goods, information and data stored by any means.

Minister means the Minister responsible for the administration of the ARC Act, or the Minister’s delegate.
NCGP means the ARC’s National Competitive Grants Program.

NHMRC means the National Health and Medical Research Council.

Personnel means those persons involved in the conduct of the Initiative.

Privacy Commissioner means the person occupying the position of Privacy Commissioner from time to time pursuant to the Privacy Act 1988.

Project Leader means the first-named Chief Investigator on the Proposal, or such other person otherwise approved by the Minister and includes any replacement person approved by the ARC in accordance with clause 11.

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

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

Responsible Officer means the Vice-Chancellor or other corporate head of the Administering Organisation or an officer nominated by her/him.

RMS means the ARC’s online Research Management System.

Scheme has the meaning given in Parties and Recitals.

Special Condition means a special condition specified in the Funding Agreement which governs the use of the Funding provided by the ARC.

Specified Personnel means the Chief Investigator(s) named in Schedule A to perform the Initiative or as otherwise approved by the ARC.

UA means Universities Australia.
2. Interpretation

2.1 In this agreement, unless the contrary intention appears:

(a) words in the singular number include the plural and words in the plural number include the singular;
(b) words importing a gender include any other gender;
(c) words importing persons include a partnership and a body whether corporate or otherwise;
(d) clause headings, words capitalised or in bold or italic format and notes in square brackets (‘[ ]’) are inserted for convenience only, and have no effect in limiting or extending the language of provisions, except for the purpose of rectifying any erroneous cross-reference;
(e) all references to clauses are to clauses in this Agreement and all references to a schedule refer to a schedule in this Agreement;
(f) all references to dollars are to Australian dollars and this Agreement uses Australian currency;
(g) reference to any statute or other legislation (whether primary or subordinate) is to a statute or other legislation of the Commonwealth and, if it has been or is amended, replaced or supplemented, is a reference to that statute or other legislation as amended, replaced or supplemented; and
(h) where any word or phrase is given a defined meaning, any other part of speech or other grammatical form in respect of that word or phrase has a corresponding meaning.

2.2 This Agreement is subject to the ARC Act. If there is any conflict between this Agreement and the ARC Act, then the ARC Act prevails to the extent of any inconsistency.

3. Entire Agreement and Variation

3.1 This Agreement, including Schedules, the Proposal for the Initiative and the Funding Rules constitutes the entire agreement between the Parties and supersedes all communications, negotiations, arrangements and agreements, whether oral or written, between the parties with respect to the subject matter of this Agreement.

3.2 Notwithstanding clause 3.1, the ARC may at any time impose other requirements or conditions in connection with any Funding covered by this Agreement as provided for under the ARC Act. The Administering Organisation must as soon as possible or as otherwise agreed in writing with the ARC, comply (or procure compliance) with any other Ministerial conditions or requirements notified by the ARC from time to time. In the event of any inconsistency between this Agreement and any such further requirements or conditions, the Administering Organisation will not be taken to have breached this Agreement where it has acted consistently with any further requirements or conditions notified under this clause.

3.3 If any part of this Agreement conflicts with any other part, that part higher in the following list shall take precedence:

(a) the terms and conditions contained in the clauses of the Agreement;
(b) the Schedules;
(c) the Funding Rules; and
(d) the Proposal.

3.4 The Administering Organisation and the Commonwealth may agree to vary this Agreement. Other than as expressly provided for in this Agreement, any variation to this Agreement must be in writing and signed by both parties.

3.5 The Administering Organisation is required to do all things incidental or reasonably necessary to give effect to this Agreement, including procuring any third parties to do such incidental or reasonably necessary things. This includes, but is not limited to the Administering Organisation’s securing the agreement of all parties involved in the Initiative to abide by the terms and conditions of this Agreement.

4. Term of Agreement and Funding Period

4.1 This Agreement takes effect on the date it has been executed by the Administering Organisation and the ARC and continues to operate until all parties have fulfilled their obligations under this Agreement.

4.2 Subject to clauses 4.3 and 5.4 of this Agreement, the period of funding is the Funding Period unless the Funding is terminated earlier in accordance with this Agreement.

4.3 The Funding Period for the Initiative including any element is indicative only of the intent of the Minister at the time of making the offer of Funding and is not binding on the Commonwealth. In the event that the Minister subsequently makes a determination under section 54 of the ARC Act to vary the Funding, this Agreement will continue to apply to any Initiative granted financial assistance under such a determination.

5. Payment of Funding

5.1 Subject to the provisions of the ARC Act, the terms of this Agreement and sufficient program funding being available for the Scheme, the Commonwealth shall pay the Funds to the Administering Organisation for the Initiative, which is net of any GST which may be imposed on the supply, in an annual allocation in accordance with Schedule A. The initial payment will be made in the first available pay cycle following the execution of the Agreement. All subsequent payments will be made in the first available pay cycle following 1 January in each year of the Funding Period.

5.2 Where the invoice relates to a taxable supply made under this contract, the invoice must comply with the requirement for a tax invoice as defined in A New Tax System (Goods and Services Tax) Act 1999.

5.3 All Funding for a Project is subject to the following conditions:

(a) all information contained in the Proposal and all reports required by this Agreement being complete, accurate and not misleading. Inaccurate and misleading information includes, but is not limited to, claiming fictitious track records, inflating funds obtained from other sources and false claims in the publication record, e.g. describing a paper as being ‘in press’ or accepted when it has only been submitted;

(b) that the Initiative commence in accordance with clause 8.1;
(c) That the Project Leader listed in Schedule A (or any replacement person approved by the ARC under clause 11) leads and coordinate the Initiative at all times during the Funding Period, including by having direct responsibility for the strategic decisions, delivery of outcomes and the communication of results for the Initiative;

(d) that the Administering Organisation conduct the Initiative substantially in accordance with the ‘Initiative Description’ contained in the Proposal, or in the event of any variation to the Initiative, in accordance with the description, aims and research plan as otherwise approved by the ARC;

(e) that the Administering Organisation spend all Funds paid under this Agreement for the Initiative substantially in accordance with the ‘Initiative Cost’ detailed in the Proposal for the Initiative and any Special Conditions, or the budget as otherwise approved by the ARC and any conditions otherwise imposed by the ARC in accordance with the ARC Act, and in accordance with the requirements of this Agreement and the Funding Rules;

(f) that the Administering Organisation only receive Funding under this Agreement to which it is properly entitled;

(g) that the Administering Organisation submit on time all reports required under this Agreement, in the form and with content satisfactory to the ARC, including Key Performance Indicators;

(h) that progress of the Initiative is, in the opinion of the ARC, satisfactory;

(i) that the Specified Personnel listed in Schedule A (or any replacement person or persons approved by the ARC under clause 11), at all times during their participation in the Initiative, meet the criteria specified in the Funding Rules, and have direct responsibility for the strategic decisions and the communication of results for the Initiative;

(j) that the Administering Organisation is advised in a timely manner of any and all Conflicts of Interest of parties involved in the Initiative which have the potential to influence or appear to influence the research, facilities and/or activities related to the Initiative, and appropriately manages these Conflicts of Interest;

(k) that the ARC is notified in writing in a timely manner of any and all other Commonwealth funding which has been, is being, or is intended to be provided for the research, facilities and/or activities funded under this Agreement;

(l) that there is no duplication of Commonwealth funding for the research, facilities and/or activities funded for the Initiative under this Agreement;

(m) that the ARC is notified in writing in a timely manner if any Specified Personnel is not able to undertake the Initiative, or to continue to undertake the Initiative, and that any change in Specified Personnel is approved in accordance with clause 11;

(n) that the Administering Organisation is responsible for any and all taxation implications associated with receiving the Funds; and

(o) that the Administering Organisation comply with any other requirements or conditions imposed by the ARC in connection with any Funding covered by this Agreement.

5.4 If the Administering Organisation does not meet any one or more of the conditions listed in clause 5.3 in respect of the Initiative, the ARC may, by notice in writing, do any or all of the following:
(a) not pay the Administering Organisation any further Funds for the Initiative;
(b) recover all or some of the Funds paid under this Agreement for the Initiative, including all unspent Funds and any Funds not spent in accordance with this Agreement; and/or
(c) vary the amount of Funding approved for the Initiative.

5.5 The ARC shall have the right to vary, unilaterally the amount for the Initiative.

5.6 Where the ARC exercises its right under clause 5.4 or 5.5 above, it shall inform the Administering Organisation in writing of the variation within 30 days of that variation having been made.

5.7 The Administering Organisation must pay to the Commonwealth the amount specified in any notice received under clause 5.4, within 30 days of the date of that notice.

6. **Use of the Funding**

6.1 The Administering Organisation must not use the Funding for purposes specifically excluded in:
(a) this Agreement; or
(b) the Funding Rules.

**Activities, Facilities and Types of Work**

6.2 The Administering Organisation will ensure that the Initiative is carried out in accordance with this Agreement in a diligent and competent manner. In addition, the Initiative will be conducted in accordance with the ‘Initiative Description’ contained in the Proposal, or any revised budget, aims and research plan which have been submitted by the Administering Organisation and approved by the ARC.

6.3 The Administering Organisation must ensure that the Initiative’s expenditure is in accordance with the ‘Initiative Description’ contained in the Proposal and within the broad structure of the proposed ‘Initiative Cost’ and ‘Budget Justification’ contained in the Proposal or in any revised budget, aims and research plan submitted by the Administering Organisation and approved by the ARC.

6.4 The Administering Organisation must provide the resources, as specified in the Proposal or in any revised budget, aims, facilities and research program approved by the ARC, to undertake the Initiative.

6.5 The Administering Organisation must ensure that Personnel, including Specified Personnel (or any replacement person(s) approved by the ARC under clause 11), have adequate time and capacity to carry out the Initiative.

6.6 The Funding must not be used to fund any research, facilities and/or activities which are, or will be, funded from other Commonwealth sources, unless otherwise approved by the ARC.

6.7 If any other Commonwealth funding is approved for any research, facility and/or activity which is similar to research, facilities or activities being conducted for the Initiative, the ARC must be notified in writing immediately and the ARC may consider whether or not to terminate or recover Funding to the extent that it is duplicated by another Commonwealth source.
Provision of Salaries and for Other Duties

6.8  Funds may be used by the Administering Organisation to employ Personnel, other than the Specified Personnel, where provision for such was included in the Proposal or in any revised budget, aims, and research program submitted by the Administering Organisation and approved by the ARC. They may be employed full-time or part-time as required.

6.9  In respect of recruiting and employing Personnel other than Specified Personnel, the Administering Organisation and other employing organisations will, unless the ARC otherwise determines:
(a) follow its normal recruitment procedures;
(b) be responsible for salaries, recreation leave, sick leave and other conditions of employment;
(c) be responsible for the on-costs provisions beyond the ARC contribution of 28 per cent (for example extended periods of leave, severance pay, and such like must not be provided from ARC funds); and
(d) ensure that a person who is studying full-time for a higher degree by research, a postgraduate degree or other postgraduate qualification shall not be employed on the Initiative for more than 20 hours per week.

6.10 The Administering Organisation must ensure that any Personnel who are employed full-time on the Initiative and whose salary is provided from the Funding shall not, without the prior agreement of the ARC, accept any remuneration whatsoever from any source other than the Administering Organisation in respect of work performed on the Initiative.

7. Over-expenditure by the Administering Organisation

7.1  Any Initiative expenditure incurred by the Administering Organisation, additional to the approved amount for the Initiative specified in Schedule A, or as otherwise varied by the ARC, is the responsibility of the Administering Organisation. The Commonwealth will not reimburse the Administering Organisation for such costs under any circumstances.

8. Commencement of Initiative

8.1  The Initiative commences on the date of execution of this Agreement.

8.2  Payments for the Initiative to the Administering Organisation will commence only once the Funding Agreement has been executed by both parties.

8.3  If requested by the ARC, and within three months of the request, the Administering Organisation must provide a detailed business and research plan for the Initiative to the ARC for approval. The plan must expand on the information provided in the Proposal in the ‘Initiative Description’, ‘Initiative Cost’ and ‘Budget Justification’, including anticipated timelines, milestones, expenditure, facilities, research program and personnel.

8.4  Within three months of the date of execution, the Administering Organisation must provide draft Key Performance Indicators and targets for the Initiative, against the performance measures stated in Schedule D of this Agreement, to the ARC for consideration. The ARC may choose to negotiate with the Administering Organisation and may request changes to the draft Key Performance Indicators and/or targets. The ARC and the Administering Organisation must agree on the final Key Performance Indicators and targets. The ARC will approve the final agreed Key Performance Indicators and targets.
Approved Key Performance Indicators will constitute a variation to this Agreement and will form Schedule D.

9. **Multi-Institutional Agreements**

9.1 The Administering Organisation will provide all participating organisations with a copy of this Agreement within a reasonable time after the commencement of Funding.

9.2 The Administering Organisation may enter into a single agreement with multiple organisations or a single agreement with a single organisation as appropriate.

9.3 Evidence of agreement is to be maintained by the Administering Organisation and must be made available if requested by the ARC.

9.4 Any agreement(s) with participating organisations must satisfy all the requirements of clause 9 at all times during the Funding Period for the Initiative.

9.5 Any agreement(s) entered into with participating organisations must include provisions which:

(a) outline the contributions, if any, and research undertaken by the participating organisations;
(b) describe the processes for the entry and exit of all participating organisations;
(c) are consistent with the details in the Proposal;
(d) confirm the participation of Personnel;
(e) grant fair access to resources for Personnel;
(f) describe the Intellectual Property arrangements that apply to the outcomes or results generated by the Initiative. Such arrangements must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research*;
(g) confirm an undertaking by all participating organisations to not impede or prevent the Administering Organisation from complying with any of its obligations under this Agreement; and
(h) confirm an undertaking by all participating organisations to abide by the terms of this Agreement.

10. **Specified Personnel**

10.1 The Administering Organisation will ensure that the Specified Personnel will participate in the Initiative in a diligent and competent manner, and will comply with this Agreement.

10.2 The Administering Organisation will provide each Specified Personnel with a copy of this Agreement within a reasonable time after the commencement of the Funding.

10.3 The Administering Organisation must ensure that that all Specified Personnel meet the criteria for their role as specified in the Funding Rules for the full term of their participation in the Initiative.

11. **Change of Specified Personnel**

11.1 The Administering Organisation must notify the ARC as soon as possible of any variation to the Initiative’s Specified Personnel at any time during the Funding Period.
11.2 If a Chief Investigator is at any time during the term of the Initiative no longer able to continue working on the Initiative, the Initiative may be continued provided that:

(a) there remains one Chief Investigator from the Administering Organisation as the Project Leader;

(b) any replacement Chief Investigator meets the eligibility criteria for a Chief Investigator, as specified in the Funding Rules;

(c) any replacement Chief Investigator must have the relevant expertise which is commensurate with the standard of the original research team which was awarded the Initiative or of the original Chief Investigator participating in the Initiative;

(d) a completed Variation of Funding Agreement request form is submitted by the Administering Organisation to the ARC seeking approval for a variation to this Agreement; and

(e) the request is approved by the ARC.

11.3 The request to the ARC, as set out in clause 11.2, must include:

(a) a curriculum vitae of the proposed Chief Investigator;

(b) a brief explanation of the role and responsibilities they are to undertake in the Initiative; and

(c) where appropriate for the role they are to undertake, their research opportunity and performance evidence details.

11.4 Additional Chief Investigators may be appointed to the Initiative, subject to the requirements stated in clauses 11.2 and 11.3.

12. Relinquishment of Initiative

12.1 The relinquishment of the Initiative will be considered only if the circumstances are exceptional and all associated parties and Specified Personnel agree to the termination of the Initiative.

13. Negation of Employment by the Commonwealth

13.1 Specified Personnel and the Administering Organisation must not represent themselves as being employees, partners or agents of the Commonwealth, or as otherwise able to bind or represent the Commonwealth.

13.2 Specified Personnel and the Administering Organisation shall not by virtue of this Agreement or for any purpose be, or be deemed to be, employees, partners, or agents of the Commonwealth, or as having any power or authority to bind or represent the Commonwealth.

14. Conduct of Research

14.1 The Initiative must be conducted in accordance with any Special Conditions specified in this Agreement and with any other requirements or conditions imposed by the ARC in connection with any Funding covered by this Agreement.
14.2 The Administering Organisation must ensure that the Initiative operating under this Agreement will not proceed without appropriate ethical clearances from the relevant committees and/or authorities referred to in Schedule B or prescribed by the Administering Organisation’s research rules. Responsibility for ensuring such clearances have been obtained remains with the Administering Organisation.

14.3 The Initiative must, unless otherwise approved by the ARC in writing, conform to the principles outlined in the following and their successor documents:

(a) NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007);
(b) as applicable, the NHMRC/ARC/UA *National Statement on Ethical Conduct in Human Research* (2007);
(c) as applicable, NHMRC *Values and Ethics – Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003);
(d) as applicable, AIATSIS *Guidelines for Ethical Research in Australian Indigenous Studies* (2011); and
(e) as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013) endorsed by the NHMRC, the ARC, the Commonwealth Scientific and Industrial Research Organisation and UA.

14.4 All parties involved in or associated with the Initiative are required to disclose to the Administering Organisation, and the other parties involved in the Initiative, any actual or potential Conflict of Interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Initiative.

14.5 If the Administering Organisation or any Specified Personnel become aware of any such actual or potential Conflict of Interest relating to any party involved in a Project, the Administering Organisation must have established processes in place for managing the actual or potential Conflict of Interest for the duration of the Project. Such processes must comply with the ARC Conflict of Interest Policy and the *Australian Code for the Responsible Conduct of Research Practice* (2007, updated December 2013).

14.6 If the Administering Organisation or any Specified Personnel has failed to disclose a Conflict of Interest or has failed to appropriately manage a declared Conflict of Interest, the Commonwealth may do any of the things provided for in clause 5.4.

15. Material Produced Under this Agreement, Publication and Dissemination of Research Outputs

15.1 The Administering Organisation must establish and comply with its own procedures and arrangements for the ownership of all Material produced as a result of the Initiative funded under this Agreement.

15.2 For any Material produced under this Agreement, the Administering Organisation must ensure that all Specified Personnel:

(a) take reasonable care of, and safely store, any data or specimens or samples collected during, or resulting from, the conduct of the Initiative;
(b) make arrangements acceptable to the ARC for lodgement with an appropriate museum or archive in Australia of data or specimens or samples collected during, or resulting from, the Initiative; and

(c) include details of the lodgement or reasons for non-lodgement in the Annual Reports and the Final Report for the Initiative.

15.3 The ARC will support publication and dissemination costs as stated in the Funding Rules.

15.4 The Initiative must comply with the ARC Open Access policy on the dissemination of research funding, which is available at on the ARC website. In accordance with this policy, the ARC requires that any publications arising from the Initiative must be deposited into an open access institutional repository within a twelve month period from the date of publication. The ARC strongly encourages the depositing of data arising from Initiative in an appropriate publicly accessible subject and/or institutional repository.

15.5 The Final Report must justify why any publications from the Initiative have not been deposited in an open access institutional repository within twelve months of publication. The Final Report must outline how data arising from the Initiative have been made publicly accessible where appropriate.

15.6 This clause survives the expiration or earlier termination of this Agreement.

16. ARC Assessments

16.1 The Administering Organisation must ensure that, for the term of this Agreement, if requested by the ARC, Chief Investigators agree to assess up to 20 new proposals for ARC funding per annum for each year of Funding.

16.2 If the ARC determines that a Chief Investigator has failed to meet the obligation to assess proposals assigned by the ARC for assessment, the ARC may notify the Administering Organisation in writing of that failure.

16.3 If a Chief Investigator does not undertake assessment of the assigned proposals within a period specified by the ARC in the notice referred to in clause 16.2 above, the Administering Organisation will be considered to be in breach of this Agreement and Funding for the Initiative may be terminated.

17. Assets

17.1 Unless otherwise approved by the ARC, Assets purchased with Funding must be purchased for the exclusive purposes of the Initiative for the duration of the Funding Period.

17.2 The Administering Organisation shall establish and comply with its own procedures and arrangements for purchasing, installing, recording, maintaining and insuring all items of equipment purchased with the Funds.

17.3 The Administering Organisation shall ensure that any Personnel shall have first priority in the use and operation of equipment purchased for the Initiative and the Administering Organisation must, so far as is practicable, permit Initiative Personnel to have priority access to that equipment in preference to other persons.
17.4 During periods when equipment, facilities and other Assets are not in active use by Initiative Personnel for the Initiative research program, at the discretion of the Administering Organisation with the agreement of the Project Leader or delegate they may be utilised by other personnel for projects to promote collaboration where appropriate. This additional use must not detrimentally affect Initiative objectives or outcomes.

17.5 Unless otherwise approved by the ARC, the ownership of any Asset purchased wholly or partly with the Funding shall be vested in the Administering Organisation, located on its campus and listed in its assets register unless:
(a) otherwise specified in the Proposal or provided for in Schedule A; or
(b) the Initiative is terminated, in which case the ARC may, by notice in writing, require the transfer of any such item of equipment to the Commonwealth.

17.6 Subject to clause 17.5, after the expiration or termination of this Agreement the Administering Organisation retains ownership of all Assets purchased using the Funds.

18. Intellectual Property

18.1 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. The ARC makes no claim on the ownership of Intellectual Property brought into being as a result of the Initiative for which Funding is provided.

18.2 Unless otherwise approved by the ARC, the Administering Organisation’s Intellectual Property policy referred to in clause 18.1 must comply with the National Principles of Intellectual Property Management for Publicly Funded Research as amended from time to time.

18.3 The Administering Organisation, if it is not a Commonwealth Entity which is contracting on behalf of the Commonwealth, will indemnify the Commonwealth, its officers, employees and agents against any liability, loss, damage, costs and expenses arising from any claim, suit, demand, action or proceeding by any person, in respect of any infringement (or alleged infringement) of Intellectual Property rights by the Administering Organisation, its employees, agents or subcontractors in the course of, or incidental to, performing the Initiative or the use by the Commonwealth of reports provided by the Administering Organisation under this Agreement.

18.4 The indemnity referred to in clause 18.3 shall survive the expiration or termination of this Agreement.

19. Protection of Personal Information

19.1 The Administering Organisation agrees with respect to all activities related to or in connection with the performance of the Initiative or in connection with this Agreement:
(a) to comply with the Australian Privacy Principles set out in Schedule 1 of the Privacy Act 1988;
(b) not to transfer personal information held in connection with this Agreement outside Australia, or to allow parties outside Australia to have access to it, without the prior approval of the Commonwealth;
(c) to co-operate with any reasonable demands or inquiries made by the Privacy Commissioner or the CEO in relation to the management of personal information by the Administering Organisation, or breaches, or alleged breaches, of privacy;

(d) to ensure that any person who has an access level which would enable that person to obtain access to any personal information (as defined in the Privacy Act 1988) is made aware of, and undertakes in writing, to observe the Australian Privacy Principles referred to in paragraph (a) above;

(e) to comply with any policy guidelines laid down by the Commonwealth or issued by the Privacy Commissioner from time to time relating to the handling of personal information;

(f) to comply with any reasonable direction of the CEO to observe any recommendation of the Privacy Commissioner relating to any acts or practices of the Administering Organisation that the Privacy Commissioner considers to be a breach of the obligations in paragraph (a) above;

(g) to comply with any reasonable direction of the CEO to provide the Privacy Commissioner access for the purpose of monitoring the Administering Organisation’s compliance with this clause;

(h) to ensure that any record (as defined in the Privacy Act 1988) containing personal information provided to the Administering Organisation by the Commonwealth or any other person pursuant to this Agreement is, at the expiration or earlier termination of this Agreement, either returned to the ARC or deleted or destroyed in the presence of a person authorised by the ARC to oversee such deletion or destruction; and

(i) to the naming or other identification of the Administering Organisation in reports by the Privacy Commissioner.

19.2 The Administering Organisation must immediately notify the ARC in writing if the Administering Organisation becomes aware of a breach of its obligations under clause 19.1.

19.3 This clause survives the expiration or earlier termination of this Agreement.

20. Confidentiality

20.1 Subject to clause 20.2, the ARC agrees not to disclose any Confidential Information of the Administering Organisation, without the Administering Organisation’s consent.

20.2 The ARC will not be taken to have breached its obligations under clause 20.1 to the extent that the ARC discloses Confidential Information:

(a) to its officers, employees, agents, external professional advisers or contractors solely to comply with obligations, or to exercise rights, under this Agreement;

(b) to its internal management personnel solely to enable effective management or auditing of this Agreement or the National Competitive Grants Program or the Scheme;

(c) for a purpose directly related to the enforcement or investigation of a possible breach of any Commonwealth, State, Territory or local law;

(d) to the Minister, or in response to a demand by a House or a Committee of the Commonwealth Parliament;
within the ARC, the Department or another government agency or authority, where this serves the ARC’s, the Department’s or the Commonwealth’s legitimate interests;

as required or permitted by any other law, or an express provision of this Agreement, to be disclosed; or

that is in the public domain other than due to a breach of this clause 20.

20.3 The Commonwealth warrants that, for a period of three years from the date of submission of the Final Report for the Initiative it will consult with the Administering Organisation before any information which is contained in any reports related to the Initiative and which the Administering Organisation has indicated is confidential and should not be disclosed, is disclosed to any person other than an officer, employee, agent or member of the ARC or the Minister. If disclosure is required to other persons, the Commonwealth will discuss the intended terms of disclosure with the Administering Organisation.

21. Acknowledgments, Publications and Publicity

21.1 Subject to commercial sensitivities and Intellectual Property considerations, the outcomes of the Initiative are expected to be communicated to the research community and, where appropriate and possible, to the community at large.

21.2 When, at any time during or after completion of the Initiative, the Administering Organisation or the researchers or any other party publishes, produces or is involved in promotional material, such as books, articles, television or radio programs, electronic media, newsletters or other literary or artistic works which relate to the Initiative, the Administering Organisation must ensure (wherever possible) that the ARC’s contribution and support of the Initiative is acknowledged in a prominent place and an appropriate form acceptable to the ARC. Similar efforts should be made when publicly speaking about Initiative. Advice of acceptable forms of acknowledgement and use of the logo is provided on the ARC website. With respect to publications, where ARC support is acknowledged, the relevant grant number should be included.

21.3 This clause survives the expiration or earlier termination of this Agreement.

22. Administration of the Funding

22.1 The Administering Organisation must maintain reasonable, up-to-date and accurate records relating to the Funding in general, and the Project conducted with the Funding in particular, to verify its compliance with this Agreement.

22.2 Records maintained under clause 22.1 must be retained by the Administering Organisation for the Project for a period of no less than seven years after whichever is the later of:

(a) the final payment of Funds by the ARC for the Initiative; or
(b) the final approved carryover of Funds for the Initiative.

23. Audit and Monitoring
23.1 The Administering Organisation is responsible for monitoring the expenditure of the Funding and certifying to the ARC that the Funding has been expended in accordance with this Agreement in the End of Year Report. If at any time, in the opinion of the Responsible Officer of the Administering Organisation, the Funding is not being expended in accordance with this Agreement, the Administering Organisation must take all action necessary to minimise further expenditure in relation to the Project and inform the ARC immediately.

23.2 The ARC may at any time conduct ad hoc on-site reviews to ensure that the terms of this Agreement are being, or were, met and that reports submitted to the ARC are an accurate statement of compliance by the Administering Organisation. Persons nominated by the ARC to conduct these reviews are to be given full access by the Administering Organisation, if required, to all accounts, records, documents and premises in relation to the Funding and the administration of the Funds in general.

23.3 The Administering Organisation must:
(a) provide information to the ARC, or a person nominated by the ARC, as reasonably required by the ARC;
(b) comply with all reasonable requests, directions, or monitoring requirements received from the ARC; and
(c) cooperate with and assist the ARC in any review or other evaluation that the ARC undertakes.

24. Access to Premises and Records

24.1 The Administering Organisation must, at all reasonable times, give to the CEO or any person authorised in writing by the CEO:
(a) unhindered access to:
   i. the Administering Organisation’s employees;
   ii. premises occupied by the Administering Organisation; and
   iii. Material.
(b) reasonable assistance to:
   i. inspect the performance of the Initiative;
   ii. locate and inspect Material relevant to the Initiative or the Administering Organisation’s compliance with this Agreement or the Scheme; and
   iii. make copies of any such Material and remove those copies and use them for any purpose connected with this Agreement or the Scheme.

24.2 The access rights in clause 24.1 are subject to:
(a) the provision of reasonable prior notice by the ARC; and
(b) the Administering Organisation’s reasonable security procedures.

24.3 If a matter is being investigated which, in the opinion of the ARC, or any person authorised in writing by the CEO, may involve an actual or apprehended breach of the law, clause 24.2 will not apply.
24.4 Upon receipt of reasonable written notice from the ARC, or any person authorised in writing by the CEO, the Administering Organisation must provide any information required by the Commonwealth for monitoring and evaluation purposes.

24.5 Nothing in clauses 24.1 to 24.4 inclusive affects the obligation of each party to continue to perform its obligations under this Agreement unless otherwise agreed between them.

24.6 The Auditor-General, or a delegate of the Auditor-General for the purpose of performing the Auditor-General’s statutory functions, at reasonable times and on giving reasonable notice to the Administering Organisation, may:
   (a) require the Administering Organisation to provide records and information which are directly related to this Agreement;
   (b) have access to the premises of the Administering Organisation for the purposes of inspecting and copying documentation and records, however stored, in the custody or under the control of the Administering Organisation which are directly related to this Agreement; and
   (c) where relevant, inspect any Commonwealth Assets and Commonwealth Material held on the premises of the Administering Organisation.

24.7 This clause survives the expiration or earlier termination of this Agreement.

25. Reporting Requirements

25.1 The Administering Organisation must submit the following reports in accordance with this Agreement and the ARC Act, in the format required by the ARC, if specified.

25.2 Key Performance Indicators
   (a) Standard Key Performance Indicators for the Initiative are included at Schedule D. The Administering Organisation must submit targets for each year of funding against these Standard Key Performance Indicators for ARC approval within three months of the execution of the Funding Agreement.
   (b) The Administering Organisation may submit Initiative-Specific Key Performance Indicators and targets for the Project for ARC approval within three months of the execution of the Funding Agreement.
   (c) The Administering Organisation must report against the agreed Key Performance Indicators annually in Annual Reports as stated in clause 25.7.

25.3 End of Year Report
   (a) The Administering Organisation must submit an End of Year Report by 31 March in the year following each full calendar year for which the Funding was awarded, in accordance with the instructions to be provided by the ARC each year. The first End of Year Report is due by 31 March 2015. The form for this report will be made available by the ARC in RMS, with instructions on the ARC website.
   (b) The End of Year Report will contain information on all expenditure for that year under the Initiative, including:
      i. any unspent Funds to be recovered by the ARC;
      ii. any unspent Funds that the Administering Organisation is seeking to have carried over into the next year; and
      iii. the reasons why the unspent Funds are required to be carried over.
(c) Under paragraph 58(1)(e) of the ARC Act, Funds provided by the ARC to the Administering Organisation which are not spent during the year of the Funding Period to which those Funds were allocated may be carried over if approved by the ARC. If the Administering Organisation wishes any Funds to be carried over from one year to the next year, the Administering Organisation must request this approval in the End of Year Report for the calendar year for which those Funds were initially paid.

(d) Where a carryover is requested for 75 per cent or more of the Funds allocated for a calendar year (excluding any Funds carried over from the previous calendar year), written justification must be provided.

(e) Funds may be carried over more than twelve months only in exceptional circumstances and subject to approval by the ARC.

25.4 Annual Report

(a) The Administering Organisation must submit an Annual Report by 31 March each year following each calendar year for which the Funding was awarded. The first Annual Report is due on 31 March 2015. The Annual Report will seek details regarding the following matters:

i. the extent to which the objectives of the Scheme and the Proposal have been met;

ii. summary of highlights, outcomes and achievements in research and other outputs achieved resulting from the use of the Funds, including any advances in knowledge, relevant publications or international collaboration and any emerging issues, including mitigation strategies;

iii. measurement and account of performance against Key Performance Indicators as set out in Schedule D;

iv. a detailed activity plan for the next twelve months; and

v. all expenditure for the calendar year, including any transfer of specific Assets or Intellectual Property;

vi. funding and/or other resources provided by the Administering Organisation and other participating organisations, and any other sources of support; and

vii. any other matters which from time to time may be requested in writing by the ARC as matters which must be included in an Annual Report.

(b) The ARC may review the Annual Report against the objectives of the Scheme and the Initiative Proposal, or any other revised aims, facilities and research program approved by the ARC. Should the information in the Annual Report be found to be inadequate or unsatisfactory, the Project Leader may be contacted to provide further information and/or a revised Annual Report.

(c) If the ARC is not satisfied with the progress of the Initiative, further payment of Funds will not be made by the ARC until satisfactory progress has, in the opinion of the ARC, been made on the Initiative. If satisfactory progress is still not achieved within a reasonable period of time, the Funding may be terminated and any unspent Funds recovered by the ARC.

(d) Unsatisfactory progress on the Initiative may be noted against any further proposals under any ARC scheme submitted on behalf of the Project Leader and/or Chief Investigators and will be taken into account in the assessment of those proposals.

Funding Agreement for the Special Research Initiative for Antarctic Gateway Partnership for funding commencing in 2014
25.5 Final Report

(a) Unless otherwise approved by the ARC, the Administering Organisation must ensure that a Final Report is provided for the Initiative within twelve months of the final payment of Funds by the ARC for the Initiative or within twelve months of the final carryover of Funds approved by the ARC, whichever is the later. The form for this report will be made available by the ARC in RMS, with instructions on the ARC website. The ARC may review the outcomes against the objective(s) of the Initiative as stated in the Proposal or any approved revised budget, aims and research plan.

(b) The Final Report must justify why any publications from the Initiative have not been deposited in an open access institutional repository within twelve (12) months of publication. The Final Report must outline how data arising from the Initiative have been made publicly accessible where appropriate.

(c) The ARC may also seek additional information about subsequent outcomes after submission of the Final Report.

(d) If a Final Report is considered by the ARC to be inadequate or is not submitted on time, the Administering Organisation of the Initiative may be contacted for further information. If the ARC is not satisfied with the outcomes of the Initiative, this may be noted against any further proposals under any ARC scheme submitted on behalf of the Project Leader and/or CIs and may be taken into account in the assessment of those proposals.

(e) Proposals submitted under any ARC scheme on behalf of the Project Leader and/or Chief Investigators on the Initiative for which the Final Report is outstanding may be deemed ineligible for approval of funding.

(f) This clause survives the expiration or earlier termination of this Agreement.

26. Australian Research Integrity Committee

26.1 The Administering Organisation must provide to the Australian Research Integrity Committee (ARIC) upon request, any documentation and information concerning allegations of its mishandling of internal reviews into alleged cases of research misconduct, and/or non-compliance with the Australian Code for the Responsible Conduct of Research (2007). ARIC may be contacted via a link on the ARC website (http://www.arc.gov.au/general/research_integrity.htm).

27. Copyright in Proposals and Reports

27.1 Copyright in any Proposal and all reports provided under this Agreement will vest in the Administering Organisation at the time of creation but the Administering Organisation grants to the Commonwealth a permanent, irrevocable, royalty-free, non-exclusive licence to use and reproduce information contained in a Proposal or a report and publish it on a non-profit basis for any purpose related to:

(a) the evaluation and assessment of proposals;

(b) verifying the accuracy, consistency and adequacy of information contained in a Proposal, or otherwise provided to the ARC;

(c) the preparation and management of any funding agreement;
(d) the administration, auditing, management or evaluation of the National Competitive Grants Program or any funding scheme administered by the ARC;

(e) the sharing of information by the ARC within the ARC’s organisation, or with another Commonwealth Department or agency, or Commonwealth Minister or parliamentary committee, where this serves the Commonwealth’s legitimate interests; or

(f) where the use, reproduction or publication of the material is authorised or required by law.

27.2 If a Proposal or a report contains information belonging to a third party, the Administering Organisation must ensure that it has in place all necessary consents sufficient to allow the ARC to deal with the information or any report in accordance with this Agreement.

27.3 This clause survives the expiration or earlier termination of this Agreement.

28. Recovery of Unspent Funds or Overpayments of Funds

28.1 Any unspent Funds may be recovered by the ARC under paragraph 58(1)(c) of the ARC Act. Any amount of Funding paid to the Administering Organisation which exceeds the amount of financial assistance that is properly payable to it may be recovered under paragraph 58(1)(d) of the ARC Act.

28.2 The ARC may offset the unspent or overpaid Funds against the total of any further Funds payable to the Administering Organisation.

28.3 This clause survives the expiration or earlier termination of this Agreement.

29. Indemnity

29.1 The Administering Organisation will indemnify the Commonwealth, its officers, employees and agents against any liability, loss, damage, costs and expenses arising from any claim, suit, demand, action or proceeding by any person, where such loss or liability was caused by a wilful, unlawful or negligent act or omission of the Administering Organisation, its employees, agents or subcontractors in connection with this Agreement.

29.2 The Administering Organisation’s liability to indemnify the Commonwealth under clause 29.1 shall be reduced proportionally to the extent that any act or omission of the Commonwealth or its employees or agents contributed to the loss or liability.

29.3 The indemnity referred to above shall survive the expiration or termination of this Agreement.

30. Insurance

30.1 The Administering Organisation must effect and maintain adequate insurance or similar coverage to cover any liability arising as a result of its participation in the Initiative and, if requested, provide the ARC with a copy of the relevant policies or when appropriate Certificate of Currency. The Administering Organisation will be responsible for affecting all insurances required under workers’ compensation legislation and for taking all other action required as an employer.

31. Dispute Resolution
31.1 Any dispute or difference arising out of or in connection with this Agreement shall at first instance, be dealt with by following the procedure provided by this clause 31.

31.2 All parties (including participating organisations involved in the Initiative, but not direct signatories to this Agreement) shall attempt to resolve the dispute or difference in the following manner:
   (a) the party claiming there is a dispute will notify the other party in writing, setting out the nature of the dispute;
   (b) the parties will try to resolve the dispute through direct negotiation, including by referring the matter to persons who have authority to intervene and direct some form of resolution;
   (c) the parties have ten (10) business days from the date of the notice to reach a resolution or to agree that the dispute is to be submitted to mediation or some alternative dispute resolution procedure;
   (d) if:
      i. there is no resolution of the dispute;
      ii. there is no agreement on submission of the dispute to mediation or some alternative dispute resolution procedure; or
      iii. there is a submission to mediation or some other form of alternative dispute resolution procedure, but there is no resolution within 30 business days of the submission, or such extended time as the Parties may agree in writing before the expiration of the 30 business days.
   then, either party may commence legal proceedings.

31.3 This clause 31 does not apply to action that the ARC takes, or purports to take, under clause 5, 28 or 32 or where a party commences legal proceedings for urgent interlocutory relief. [Clause 5 relates to payment of funds, clause 28 relates to recovery of unspent Funds or overpayment of Funds, clause 32 relates to termination of the Agreement.]

31.4 Despite the existence of the dispute, the Administering Organisation must (unless requested in writing by the ARC not to do so) continue to perform its obligations under this Agreement.

32. Termination of the Agreement

32.1 The ARC may immediately terminate Funding for the Initiative by notice in writing to the Administering Organisation if:
   (a) the Administering Organisation commits any breach of this Agreement which the ARC considers is not capable of remedy;
   (b) in the opinion of the ARC, progress on the Initiative is not satisfactory;
   (c) the ARC reasonably believes that it has received inaccurate, incomplete or misleading information in relation to the Initiative, including in the Proposal or in any report provided under this Agreement;
   (d) the ARC reasonably believes there is fraud or misleading or deceptive conduct on the part of the Administering Organisation or any Specified Personnel;
   (e) the Administering Organisation fails to comply with any additional ARC requirement or condition notified by the ARC under clause 3.2;
(f) the ARC receives notice that work on the Initiative will cease, or has ceased;
(g) the Administering Organisation is unable to continue its role for any reason; or
(h) the Commonwealth terminates its commitment in the event of a change of
government policy or other related government requirements.

32.2 If the ARC terminates Funding for the Initiative under clause 32.1:
(a) the Administering Organisation must immediately take all available and reasonable
steps to stop any further expenditure of Funding on the Initiative;
(b) the Administering Organisation must provide the reports required by this
Agreement, within the timeframes specified in this Agreement, unless otherwise
specified by the ARC; and
(c) the ARC may recover all or any Funding for the Project in accordance with clause
5.4.

32.3 Any amount notified to the Administering Organisation as payable under clause 32.2(c) is
a debt due to the ARC (without further proof of the debt being necessary), payable within
30 days of the date of the notice.

32.4 Subject to clause 17.5, after the expiration or termination of this Agreement the
Administering Organisation retains ownership of all Assets purchased using the Funds.

33. Compliance with Law

33.1 The Administering Organisation shall in carrying out this Agreement comply with the
provisions of any relevant statutes, regulations, by-laws, and requirements of any
Commonwealth, State, Territory or local authority.

33.2 The Administering Organisation acknowledges that:
(a) Part 7 of the Criminal Code Act 1995 provides for offences which attract substantial
penalties, including theft of Commonwealth property and other property offences,
obtaining property or financial advantage by deception, offences involving
fraudulent conduct, bribery, forgery and falsification of documents;
(b) it is aware that giving false or misleading information is a serious offence under the
Criminal Code Act 1995;
(c) the publication or communication of any fact or document by a person which has
come to her/his knowledge or into her/his possession or custody by virtue of the
performance of this Agreement (other than a person to whom the Administering
Organisation is authorised to publish or disclose that fact or document) may be an
offence under section 70 of the Crimes Act 1914, punishment for which may be a
maximum of two years imprisonment;
(d) in respect of data, including personal information, held in connection with this
Agreement, any unauthorised and intentional access, destruction, alteration,
addition or impediment to access or usefulness of the data stored in any computer in
the course of performing this Agreement is an offence under Part 10.7 of the
Criminal Code Act 1995 which may attract a substantial penalty, including
imprisonment;
(e) it is aware of the provisions of section 79 of the Crimes Act 1914 relating to official
secrets;
it is aware of its obligations under Part 4 of the Charter of United Nations Act 1945 and the Charter of United Nations (Terrorism and Dealing with Assets) Regulations 2002;

(g) it may have obligations under the Workplace Gender Equality Act 2012 and it must comply with those obligations; and

(h) it is aware of its obligations under relevant work, health and safety laws.

33.3 The Administering Organisation undertakes with respect to any officer, employee, agent or subcontractor who will have access to documents, materials or information within the meaning of section 79 of the Crimes Act 1914 that prior to having access the officer, employee, agent and subcontractor will first be required by the Administering Organisation to provide the Administering Organisation with an acknowledgment that the officer, employee, agent or subcontractor is aware of the provisions of the section.


33.5 The Administering Organisation must ensure that in performing the obligations under, and arising from this Agreement, all necessary precautions for the health and safety of all persons have been identified and implemented.

33.6 The Administering Organisation must ensure that all officers, employees, agents and subcontractors in performing the obligations under and arising from this Agreement comply with any security and safety requirements of which they are or should be reasonably aware.

34. Liaison

34.1 Researchers should direct all queries regarding ARC Funding to their Administering Organisation’s Research Office or equivalent in the first instance. All communications from the Administering Organisation to the ARC or the Minister, relating to the Funding should be made through the Responsible Officer of the Administering Organisation and should be directed to the ARC at the following address:

Special Research Initiatives
Australian Research Council

Phone: 02 6287 6600
Fax: 02 6287 6601

Postal address
GPO Box 2702
CANBERRA ACT 2601
SRI@arc.gov.au

Post-award enquiries and report submission
Email: SRI@arc.gov.au
35. Applicable Law

35.1 This Agreement will be governed by and interpreted in accordance with the laws of the Australian Capital Territory and the Parties submit to the non-exclusive jurisdiction of the courts of that Territory.
SCHEDULE A

Details of Special Research Initiative for Antarctic Gateway Partnership Project to receive Funding from the Commonwealth
SCHEDULE B

Research special conditions

B.1 Importation of experimental organisms: The Administering Organisation must ensure that, before experimental organisms are imported into Australia for the purposes of the Initiative, the Administering Organisation must obtain agreement in principle for the importation from the appropriate Commonwealth and State authorities.

B.2 Research involving humans or other animals: If the Initiative conducted by the Administering Organisation includes research on or involving humans or other animals, the Administering Organisation must ensure that the codes adopted for these purposes by the National Health and Medical Research Council, Australian Research Council, and Universities Australia are complied with. The Initiative may not commence without clearance from the Administering Organisation’s Ethics or Biosafety Committee (or equivalent) and from any other relevant authority.

B.3 Deposition of biological materials: Any biological material accumulated during the course of the Initiative shall be transferred to an Australian body with statutory responsibility for control of such material. If no such body is available to take control of the biological material then the Administering Organisation must dispose of the material in accordance with the Administering Organisation’s established safeguards.

B.4 Genetic manipulation: If the Initiative involves the use of gene technology (as defined in the Gene Technology Act 2000), then before the proposed research commences, the Administering Organisation must ensure that the research has been approved in writing by the relevant Biosafety and/or Ethics Committees (or equivalent) of the Administering Organisation. The Administering Organisation must retain all certificates relating to the above and will provide evidence to the ARC if required to do so. The Administering Organisation must be accredited with the Office of the Gene Technology Regulator.

B.5 Ionising radiation: If the Initiative involves the use of ionising radiation, the Administering Organisation shall ensure that any personnel performing procedures involving ionising radiation are appropriately trained and hold a relevant current licence from the appropriate State authority. The Administering Organisation must retain all such licences and shall provide them to the ARC if required to do so.

B.6 Social science data sets: Any digital data arising from the Initiative involving research relating to the social sciences should be lodged with the Australian Social Science Data Archive (ASSDA) for secondary use by other investigators. This should normally be done within two years of the conclusion of any fieldwork relating to the Initiative research.
SCHEDULE C

Special Conditions for the Initiative

C.1 Personnel
(a) The Administering Organisation may appoint a person to be responsible for the day-to-day management of the Initiative. This person will have the title of Project Manager or Chief Operating Officer. This role is not to be filled by the Project Leader. The ARC must be notified of the appointment, but ARC approval is not required for the appointment. The ARC must also be notified of any replacement Project Manager or Chief Operating Officer.

(b) The Administering Organisation must appoint a person to be responsible for monitoring the integrity of the Initiative and reporting on this to the Administering Organisation and the ARC. ARC Funding may be used for salary costs for this person.

(c) Subject to section A5.1.4 of the Funding Rules and clause 6.7 of this Agreement, personnel associated with the Initiative may apply for research funding, for projects not associated with the Initiative, from other sources including other ARC initiatives and schemes.

C.2 Governance
(a) The Administering Organisation must implement appropriate governance structures for the Initiative to support strategic alliances and collaboration with researchers, contributors and stakeholders. This may take the form of an Advisory Committee or Advisory Board.

(b) The Advisory Committee or Advisory Board will contribute to the strategic management and vision of the Initiative, including the initial and/or on-going development of facilities and the research program over the Funding Period. It may also provide advice on access to facilities, translation of research outcomes into the community, intellectual property and commercialisation management, as well as serving as a vehicle for creating better linkages between academia, end-users and government.

(c) Governance arrangements must be finalised within three months of execution of the Funding Agreement and be maintained for the duration of the Funding Period.

(d) While the final composition of the Advisory Committee or Advisory Board is a matter for the Administering Organisation, it must provide broad representation of the research and end-user communities. It may comprise some of the following: industry or end-user representatives, senior international and/or Australian experts, community groups, or senior university staff. If a similar committee already exists, this may be re-structured if appropriate. ARC personnel will not serve as members of the Advisory Committee or Advisory Board.

(e) The Advisory Committee or Advisory Board must meet at least once a year. The ARC may choose to participate in these meetings as an observer.
C.3 Selection Process
(a) Once the Funding Agreement has been executed, the Administering Organisation can run a competitive process for distributing the Funding to specific research projects within the scope of the Initiative. Any selection and approval process must be agreed in advance with the ARC.
(b) Research proposals should be assessed and merit ranked using a transparent system of allocation against the selection criteria listed at section B4.1 of the Funding Rules.
(c) Details of the selection process and outcomes must be made available on request to the ARC for periodic audit purposes.

C.4 Review
(a) During the year listed under the heading ‘Year for Initiative Review’ in Schedule A, the Initiative will undergo a rigorous and comprehensive external performance review undertaken by the Commonwealth.
(b) The review will evaluate the Initiative’s performance against the Initiative objectives outlined in the Funding Rules and the specific Initiative objectives set out in the Proposal, and the specific performance targets or milestones identified in the Proposal and in Schedule D of this Agreement. The operations, management and governance of the Initiative will also be evaluated.
(c) Continuation of Funding for the remaining years of the Funding Period will be dependent on the outcome of the review. The Initiative may be terminated following the review if, in the opinion of the ARC, that Initiative is not performing or operating at the level expected of an ARC Special Research Initiative.
(d) An ad hoc review of the Initiative may be held at any time.
## SCHEDULE D

**Standard Key Performance Indicators for the Special Research Initiative for Antarctic Gateway Partnership**

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<th>Key Result Area</th>
<th>Performance Measure</th>
<th>Reporting Frequency</th>
<th>Target 2014</th>
<th>Target 2015</th>
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<td>Research</td>
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<td><strong>Staff and research training</strong></td>
<td>Number of staff employed (includes CIs, post doctoral researchers and postgraduate students)</td>
<td>Annually</td>
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<td></td>
<td>Number of Early Career Researchers (within five years of completing PhD) working on research.</td>
<td>Annually</td>
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<td></td>
<td>Number of mentoring programs or professional training courses offered by the SRI (include programs for students, new staff, external stakeholders and clients)</td>
<td>Annually</td>
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<td><strong>Number of projects funded</strong></td>
<td>Number of active projects funded (cumulative)</td>
<td>Annually</td>
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<td></td>
<td>Number of organisations participating in projects</td>
<td>Annually</td>
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<tr>
<td><strong>Outreach and end-user links</strong></td>
<td>Number of government, industry and business community briefings</td>
<td>Annually</td>
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<td></td>
<td>Number and nature of public awareness/outreach programs</td>
<td>Annually</td>
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<td></td>
<td>Currency of information on the SRI website</td>
<td>Annually</td>
<td></td>
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</tbody>
</table>
### National benefit – Strategic Research Priorities

<table>
<thead>
<tr>
<th>Contribution to the Strategic Research Priorities</th>
<th>Annually</th>
</tr>
</thead>
<tbody>
<tr>
<td>Papers in SRP areas</td>
<td></td>
</tr>
<tr>
<td>Projects in SRP areas</td>
<td></td>
</tr>
<tr>
<td>Measures of international reputation and competitiveness</td>
<td></td>
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<tr>
<td>International leadership positions held by Project participants</td>
<td></td>
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<tr>
<td>Visit (in person months) by international investigators</td>
<td></td>
</tr>
</tbody>
</table>
## Project-specific Key Performance Indicators for the *Special Research Initiative for Antarctic Gateway Partnership*

<table>
<thead>
<tr>
<th>Key Result Area</th>
<th>Performance Measure</th>
<th>Reporting Frequency</th>
<th>Target 2014</th>
<th>Target 2015</th>
<th>Target 2016</th>
<th>Target 2017</th>
<th>Target 2018</th>
<th>Target 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Governance</strong></td>
<td>Breadth, balance and experience of the members of the Advisory Committee</td>
<td>At review</td>
<td></td>
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<td></td>
<td>The Advisory Committee will be established in XXXX.</td>
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<td></td>
<td>Frequency, attendance and value added by Advisory Committee</td>
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<td></td>
<td>The Advisory Committee will meet twice p.a.</td>
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<td></td>
<td>The adequacy of the performance measure targets, and developing project-specific KPIs</td>
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</tbody>
</table>
IN WITNESS WHEREOF the parties have agreed to this Agreement on the date first above written.

SIGNED for and on behalf of
THE COMMONWEALTH OF AUSTRALIA

by ..................................................…..…..
insert name of signatory above

signatory to sign above

the ..................................................…..…..
insert signatory’s title above
of the Australian Research Council

In the Presence of:

..................................................…..…..
insert name of witness above

witness to sign above

SIGNED for and on behalf of
<<Administering Organisation>>

by ..................................................…..…..
insert name of signatory above

signatory to sign above

the ..................................................…..…..
insert signatory’s title above
of the said Administering Organisation
who, by signing, certifies that he/she has
the authority so to sign

In the Presence of:

..................................................…..…..
insert name of witness above

witness to sign above