Funding Agreement
between the
Commonwealth of Australia
as represented by the
Australian Research Council
and
<<Administering Organisation>>
regarding funding for

Industrial Transformation Training Centres
to commence in
2014
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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 Industrial Transformation Training Centres scheme (‘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 Projects, 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 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 under the Industrial Transformation Training Centres scheme and which will be responsible for the administration of the funding if the Project is approved for funding.

AIATSIS means the Australian Institute of Aboriginal and Torres Strait Islander Studies.

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

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

ARC website is www.arc.gov.au.

Asset includes personal, real or incorporeal property, but shall not include Intellectual Property.

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

Chief Investigator (CI) means a person named as Chief Investigator in Schedule A for a particular Project (and may include the role of Training Centre Director) and includes any replacement person or persons approved by the ARC in accordance with clause 15.

Commonwealth means the Commonwealth of Australia.

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

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.

Contributions means the cash and/or in-kind contribution for the Project provided by the Administering Organisation, Eligible Organisations and Partner Organisations in respect of the Project.

Department means the Commonwealth Department of Education.

Eligible Organisation means an organisation which is listed in Appendix A of the Funding Rules.

End of Year Report means the report described in clause 30.3.

Final Report means the report described in clause 30.5.

Funding or Funds means the amount or amounts payable under this agreement for each Project as specified in Schedule A.

Funding Agreement or Agreement means this document.

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

Funding Rules means the Industrial Transformation Training Centres Funding Rules for funding commencing in 2014.

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

In-kind Contribution means a contribution of goods, services and materials or time to the Project from an individual, business or organisation.

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 Project uses to monitor and report on progress of research outcomes as outlined at clause 30.2.

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

**Minister** means the Minister from time to time responsible for the administration of the Act, or the Minister’s delegate.

**NHMRC** means the National Health and Medical Research Council.

**Other Eligible Organisation** means an Eligible Organisation listed in an *Industrial Transformation Training Centres* Proposal which is not the Administering Organisation.

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

**Partner Investigator (PI)** means a person named as a Partner Investigator in Schedule A for a particular Project, who satisfies the eligibility criteria for a Partner Investigator under the Funding Rules and includes any replacement person or persons approved by the ARC in accordance with clause 15.

**Partner Organisation** means any company, government agency, incorporated body or other collaborating organisation, other than an Eligible Organisation or Other Organisation, named in Schedule A as a contributor to a Project or as otherwise approved by the ARC and includes any replacement organisation or organisations approved by the ARC in accordance with clause 15.

**Personnel** means those persons involved in the conduct of a Project.

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

**Progress Report** means the report described in clause 30.4.

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

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

**Recipient Created Tax Invoice** means a tax invoice that is issued by the recipient of the goods and/or services rather than the supplier.

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

**Responsible Officer** means the Vice-Chancellor or other corporate head of the Administering Organisation or an officer nominated by her/him.
Scheme has the meaning given in Parties and Recitals.

Scheme Coordinator means the occupant from time to time of the position of Scheme Coordinator (Industrial Transformation Training Centres) in the ARC, or any other person to whom the administration of the Industrial Transformation Training Centres scheme may be allocated.

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

Specified Personnel means the Training Centre Director, Chief Investigator(s) and Partner Investigator(s) named in Schedule A to perform the Project or as otherwise approved by the ARC.

Training Centre Director means the first named CI on a Project listed at Schedule A or otherwise approved by the Minister and includes any replacement persons approved by the ARC in accordance with clause 15.

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 Act, then the Act prevails to the extent of any inconsistency.
3 **Entire Agreement and Variation**

3.1 This Agreement, including Schedules, the Proposal for each Project 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 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 ARC 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 Project 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 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 any Project is indicative only of the intent of the Minister at the time of making the offer of Funding and is not binding on the ARC. In the event that the ARC subsequently makes a determination under section 54 of the Act to vary the Funding, this Agreement will continue to apply to any Project, 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 ARC will pay to the Administering Organisation the approved amount of Funds for each Project in progressive monthly instalments in accordance with Schedule A.

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

(a) that the Project commence in accordance with clause 13;
(b) that the Training Centre Director listed in Schedule A (or any replacement person approved by the ARC under clause 15) leads and coordinates the Project at all times during the Funding Period, including by having direct responsibility for the strategic decisions and the communication of results for the Project;
(c) that the Administering Organisation conduct the Project substantially in accordance with the ‘Project Description’ contained in the Proposal, or in the event of any variation to the Project, in accordance with the description, aims and research plan as otherwise approved by the ARC;
(d) that the Administering Organisation spend all Funds paid under this Agreement for each Project substantially in accordance with the ‘Project Cost’ detailed in the Proposal for that Project 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 Act, and in accordance with the requirements of this Agreement and the Funding Rules;
(e) that the Administering Organisation enter into an agreement with each Other Eligible Organisation that meets the requirements of clause 10;
(f) that the Administering Organisation enter into an agreement with each Partner Organisation that meets the requirements of clause 11;
(g) that the total Partner Organisation Contribution for a Project satisfies the requirements set out in this Agreement and the Funding Rules, unless otherwise approved by the ARC; that the Administering Organisation only receive Funding under this Agreement to which it is properly entitled;
(h) 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;
(i) that progress of the Project is, in the opinion of the ARC, satisfactory;
(j) that the Specified Personnel (or any replacement person or persons approved by the ARC under clause 15), at all times during their participation in a Project as Specified Personnel, meet the criteria specific to their role in accordance with section 7 of the Funding Rules, including by having direct responsibility for the strategic decisions and the communication of results for the Project;
(k) that the Administering Organisation is advised in a timely manner of any and all Conflicts of Interest of parties involved in the Project which have the potential to influence or appear to influence the research and/or activities related to the Project;
(l) that the Administering Organisation has documented processes in place for managing Conflicts of Interest in accordance with the Australian Code for the Responsible Conduct of Research (2007, updated December 2013);
that the ARC is advised 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 and/or activities funded under this Agreement;

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

(o) that there is no duplication of Commonwealth funding for the research and/or activities funded for the Project under this Agreement;

(p) that the ARC is notified in writing in a timely manner if any Specified Personnel is not able to undertake the Project, or to continue to undertake the Project, and that any change in Specified Personnel is approved in accordance with clause 15; and

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

5.3 If the Administering Organisation does not meet any one or more of the conditions listed in clause 5.2 in respect of a Project, the Commonwealth may, by notice in writing to the Administering Organisation, do any or all of the following:

(a) not pay the Administering Organisation any further Funds for that Project;

(b) recover all or some of the Funds paid under this Agreement for that Project, including all unspent Funds and any Funds not spent in accordance with this Agreement; and/or

(c) vary the amount of Funding approved for that Project.

5.4 The Administering Organisation must pay to the Commonwealth the amount specified in any notice received under clause 5.3(b) within 30 days of the date of that notice.

5.5 The Commonwealth will pay to the Administering Organisation, by way of financial assistance in accordance with the Act, the approved amounts set out in Schedule A, which is exclusive of any GST which may be imposed on the supply.

5.6 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.

5.7 The Commonwealth shall have the right to unilaterally vary the amounts for any or all Projects.

5.8 Where the Commonwealth exercises its right under clause 5.3 or 5.7 above, it shall inform the Administering Organisation in writing of the variation within 30 days of that variation having been made.

6 Accuracy of Information

6.1 The provision of any Funding for a Project is conditional on all information contained in the Proposal for that Project and all reports required by this Agreement from the Administering Organisation being complete, accurate and not misleading. The Commonwealth regards inaccurate and misleading information as including, but not being 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 even if it has only been submitted.

6.2 If the Commonwealth considers that a Proposal for Project or any report provided under this Agreement contains incomplete, inaccurate or misleading information, the Commonwealth may by notice in writing to the Administering Organisation do any or all of the following:

(a) not pay the Administering Organisation any further Funds for that Project;
(b) recover all or some of the Funds paid under this Agreement for that Project, including all unspent Funds and any Funds not spent in accordance with this Agreement; and/or
(c) vary the amount of Funding approved for that Project.

7 Use of the Funding: Activities, Facilities and Types of Work

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

7.2 The Administering Organisation must ensure that expenditure on each Project described in Schedule A is in accordance with the ‘Project Description’ contained in the Proposal and within the broad structure of the proposed ‘Project Cost’ detailed in the Proposal or any revised budget, aims and research plan submitted by the Administering Organisation which has been approved by the ARC.

7.3 The Administering Organisation must not use the Funding:

(a) for purposes specifically excluded in the Funding Rules;
(b) for items excluded as a Special Condition in Schedule A; or
(c) for purposes specifically excluded in this Agreement, for example clauses 7.4, 7.6 and 8.1.

7.4 The Administering Organisation must ensure that the persons listed in Schedule A (or any replacement person(s) approved by the ARC under clause 15) have adequate time to carry out each Project and must provide the basic facilities required for each Project as listed in the Funding Rules. Project Funding cannot be used for these purposes.

7.5 The Administering Organisation may not apply ‘bench fees’ or similar fixed charges to ARC funded Projects for the provision of basic facilities as outlined in clause 7.4.

7.6 Unless otherwise approved by the ARC, the Funding must not be used to fund any research and/or activities for which other financial assistance from the Commonwealth has been, is being, or is intended to be provided.

7.7 Unless otherwise approved by the ARC, the Administering Organisation must provide the resources to undertake each Project as specified in the Proposal.

7.8 The Administering Organisation must obtain the agreement of all parties necessary to allow each Project to proceed. Evidence of agreement must be obtained from all relevant persons and organisations involved in the Project and are to be retained by the
Administering Organisation. This evidence must be made available if requested by the ARC.

7.9 If any other Commonwealth funding is approved for any research and/or activity which is similar to research or activities being conducted for any Project, the ARC must be notified 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.

8 Use of the Funding: Provision of Salaries and for Other Duties

8.1 The Funding specified in Schedule A must not be used to provide salary support for the Training Centre Director, Chief Investigator(s) or Partner Investigator(s).

8.2 Project payments can only commence once the Funding Agreement has been executed by both parties. Retrospective salary payments will not be paid for employment prior to the date the Funding Agreement is executed.

8.3 Funding may not be used for the payment of a Partner Investigator’s costs incurred because of her/his involvement in the Project, except for short-term project support for Partner Investigators visiting from overseas and domestic and international travel associated with a project where such visits and costings were outlined in the Proposal and as a Special Condition were not prohibited.

8.4 If expenditure is incurred as allowed for in clause 8.3 above, the Administering Organisation must ensure that expenditure is in accordance with the broad structure of the ‘Project Description’ and ‘Project Cost’ detailed in the Proposal, or any revised Project budget, aims and research plan submitted by the Administering Organisation which are approved by the ARC.

8.5 Funds may be used by the Administering Organisation to support the salary for research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 28 per cent on-costs, for the Administering Organisation. Such requests must be included in the Proposal and not be prohibited as a Special Condition. They may be employed full-time or part-time, as required.

8.6 Funding may be used for stipends for Higher Degree by Research (HDR) students and postdoctoral fellows, in whole or in part, at an appropriate level for the Administering Organisation or the relevant industry. HDR stipend requests and postdoctoral fellow requests must be included in the Proposal and not be prohibited as a Special Condition.

8.7 The Administering Organisation must ensure that a person who is studying full-time for a postgraduate degree or other postgraduate qualification shall not be employed on a Project for more than 20 hours per week.

8.8 In respect of Personnel other than the Training Centre Director, Chief Investigators or Partner Investigators, unless the ARC otherwise determines:

(a) in recruiting Higher Degree by Research candidates and postdoctoral fellows the Administering Organisation shall follow those recruitment procedures outlined in Schedule C;

(b) the provision of salaries, recreation leave, sick leave and other conditions of employment for Personnel shall be those of the Administering Organisation; and
(c) the on-costs provisions beyond the ARC contribution of 28 per cent remain the responsibility of the Administering Organisation, e.g. extended periods of leave, severance pay etc., must not be provided from ARC funds.

8.9 The Administering Organisation must ensure that any Personnel who are employed full-time on a Project 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 Project.

8.10 Notwithstanding clause 8.9, a Partner Organisation’s Cash Contribution to the Administering Organisation for the Project may be used to raise the levels of the salaries paid to Personnel, excluding the salaries of the Training Centre Director, Chief Investigators and Partner Investigators.

9 Over-expenditure by the Administering Organisation

9.1 Any Project expenditure incurred by the Administering Organisation for a Project additional to the approved amount for that Project 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.

10 Multi-Institutional Agreements

10.1 The Administering Organisation must not allow a Project to commence, nor funding to be expended, until it has entered into an agreement with each Other Eligible Organisation in accordance with this clause 10.

10.2 A written agreement must be entered into with each Other Eligible Organisation before the final date of Project commencement as stated in clause 13 and must include provisions that:

(a) outline the role and contribution, if any, of the Other Eligible Organisation;
(b) outline the responsibilities of the Other Eligible Organisation in contributing to the governance of the Project;
(c) confirm the participation of the Chief Investigator(s) from the Other Eligible Organisation;
(d) outline Contributions and research undertaken by the Other Eligible Organisation;
(e) describe the Intellectual Property (IP) arrangements that apply to the IP each party brings to the project or “Background IP” as well as the outcome or results generated by the Project or “Project IP”. Such arrangements must, unless otherwise approved by the ARC, comply with the National Principles of Intellectual Property Management for Publicly Funded Research;
(f) do not impede or prevent the Administering Organisation from complying with any of its obligations under this Agreement;

10.3 The Administering Organisation must ensure that each Other Eligible Organisation and Other Organisation is provided with timely notice of progress made on the Project.

10.4 The Administering Organisation will retain the written agreement, and make it available to the ARC if required.
11 Partner Organisation Agreements

11.1 The Administering Organisation must not allow a Project to commence, nor Funding to be expended, until it has entered into a written partner agreement with each Partner Organisation in accordance with this clause 11. The Administering Organisation must reach agreement with each Partner Organisation and enter into a written partner agreement with each such organisation before the final date for commencement of the Project as determined in accordance with clause 13.

11.2 An agreement entered into with a Partner Organisation must include provisions that:

(a) outline the role and contribution of the Partner Organisation;

(b) outline the Contributions and research undertaken by the Partner Organisations involved;

(c) confirm the participation of the Partner Investigator(s) from the Partner Organisations;

(d) describe the Intellectual Property arrangements that apply to the IP each party brings to the project or “Background IP” as well as the outcome or results generated by the Project or “Project IP”. Such arrangements must, unless otherwise approved by the ARC, comply with the National Principles of Intellectual Property Management for Publicly Funded Research;

(e) provide an assurance from the Partner Organisation that the Partner Organisation’s relationship with the Administering Organisation and the Specified Personnel for the Project complies with the requirements specified in the Funding Rules, including:

i. that the Partner Organisation’s relationship with the Training Centre Director and Chief Investigators on the Project would not generate or represent a Conflict of Interest, or if a Conflict of Interest did exist or arise, that it will be managed in accordance with subsections 19.3 and 19.4;

ii. that the Partner Organisation satisfies the requirements for a Partner Organisation stipulated in sections 6.2 and 6.3 of the Funding Rules; and

iii. if one or more of the Partner Investigators are employees of the Partner Organisation, that the Partner Organisation will make an appropriate contribution of time and operating costs towards the Project in relation to the participation of the Partner Investigators in the Project;

(f) other than where the Partner Organisation is a Commonwealth entity which contracts as part of the Commonwealth, an indemnity from the Partner Organisation in favour of the Administering Organisation that covers any loss, liability or expense incurred or suffered by the Administering Organisation as a result of any breach of this Agreement caused by the Administering Organisation’s reliance on the assurance given by the Partner Organisation in accordance with paragraph (d) above;

(g) are consistent with details contained in the Proposal, except as provided for in clause 11.5; and

(h) do not impede or prevent the Administering Organisation from complying with any of its obligations under this Agreement.
11.3 A written partner agreement entered into under this clause 11 must continue to satisfy the requirements of this clause 11 at all times during the Funding Period for the Project.

11.4 The Administering Organisation must ensure that the total Partner Organisation Contribution for a Project satisfies the requirements of this Agreement and the Funding Rules.

11.5 Unless otherwise approved by the ARC, the Administering Organisation must ensure that each Partner Organisation provides contributions as set out in the Proposal. However, if the Funding for a Project is less than the amount requested in the Proposal for that Project, the Partner Organisation Contribution may be reduced by the same proportion. In all cases, the minimum requirements for the Partner Organisation Contribution as set out in this Agreement and the Funding Rules continue to apply.

11.6 The Administering Organisation must ensure that the Commonwealth and each Partner Organisation is provided with timely notice of progress made on the Project.

11.7 The Administering Organisation will retain the written partner agreement, and make it available to the ARC if required.

12 Default of Partner Organisation

12.1 If the Administering Organisation receives notice that a Partner Organisation wishes to reduce or withdraw its support for the Project, or reasonably believes that a Partner Organisation is in default of any of its obligations under a written partner agreement entered into between that Partner Organisation and the Administering Organisation under clause 11, the Administering Organisation must immediately notify the ARC, and may attempt to find a replacement Partner Organisation for the Project, or modify remaining Partner Organisation arrangements, in accordance with the procedure outlined in clause 12.2.

12.2 Should the Administering Organisation wish to proceed with a replacement Partner Organisation or modified Partner Organisation arrangements as allowed under clause 12.1, it must complete the procedure listed below within three months from the date of notification from the Partner Organisation or from the date on which the Administering Organisation became aware that the Partner Organisation is not meeting its obligations, whichever is the earlier.

(a) the Administering Organisation must request, in writing, the ARC’s approval of a replacement Partner Organisation or modified remaining Partner Organisation arrangements which comply with the requirements for Partner Organisations and Partner Organisation Contributions specified in this Agreement and the Funding Rules;

(b) the replacement or remaining Partner Organisations must provide a written undertaking to provide (in total) a replacement contribution equivalent to that which would have been provided by the Partner Organisation in default and which satisfies the requirements of this Agreement (including using the criteria set out in Schedule C) and the Funding Rules; and

(c) the Administering Organisation and the replacement Partner Organisation or remaining Partner Organisations must enter into a written partner agreement, or amend any existing agreement (as appropriate) consistent with clause 11 to reflect the revised Partner Organisation Contribution arrangements.
12.3 The ARC may approve a replacement Partner Organisation if the Partner Organisation meets the eligibility criteria as specified in the Funding Rules.

12.4 To avoid doubt, the funding condition set out in clause 5.2(f) will not have been satisfied if:

(a) the ARC does not approve any replacement Partner Organisation or the modified Partner Organisation arrangements proposed under clause 12.2; or

(b) the Administering Organisation does not attempt to find any replacement Partner Organisation or modify existing Partner Organisation Contribution arrangements in accordance with clause 12.2.

### 13 Commencement of Project: Final Date for Commencement

13.1 The Project must commence by no later than 28 February 2015.

13.2 Commencement of the Project cannot be deferred beyond the commencement date stated in clause 13.1. Requests for deferred commencement dates will only be considered in exceptional circumstances. The ARC may recover Funding for any Project which has not commenced by the date specified in clause 13.1.

### 14 Specified Personnel

14.1 The Administering Organisation shall ensure that the Specified Personnel conduct the Project in a diligent and competent manner and will comply with this Agreement.

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

14.3 The Administering Organisation warrants that it has made proper inquiries of the Specified Personnel in relation to their eligibility to perform the Project.

14.4 The Administering Organisation must ensure that, unless otherwise approved by the ARC, all Specified Personnel meet the criteria specified in section 7 of the Funding Rules for the full term of their participation in the Project.

14.5 The Administering Organisation must ensure that each of the Specified Personnel who is to work on a Project has the approval of her/his employing organisation to participate in the Project. The Administering Organisation does not require the agreement of the employing organisation of an overseas-based Partner Investigator (unless they are employed by an Eligible Organisation) to participate in the Project.

### 15 Change of Specified Personnel

15.1 If a Chief Investigator or Partner Investigator is at any time during the term of a Project no longer able to continue working on the Project, the Project may be continued provided that:

(a) there remains to be at least two (2) Chief Investigators from the Administering Organisation, where one (1) will be the Training Centre Director, at least one (1) Chief Investigator from each Eligible Organisation and at least one (1) Partner Investigator from each Partner Organisation;

(b) any replacement Chief Investigator or Partner Investigator meets the eligibility
criteria, as specified in the Funding Rules for the particular role they are to perform, for the period for which they are to perform that role;

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

(d) approval is sought from the ARC for the change in Specified Personnel:
   i. in writing (including a copy of the proposed replacement person’s curriculum vitae and, where appropriate for the role they are to undertake, their research opportunity and performance evidence details; and
   ii. within three months of the date that the Specified Personnel cease working on the Project;

(e) any replacement Chief Investigator or Partner Investigator (‘New Personnel’) proposed for a Project, will require the Administering Organisation to obtain certifications from the New Personnel and their employers which have similar effect to those required to be obtained for the other Specified Personnel on the Project; and

(f) the change is approved, in writing, by the ARC.

15.2 If, at any time during the Funding Period, the Training Centre Director is unable to continue in the role due to exceptional circumstances, a Project may be continued under another Training Centre Director provided that:

(a) he/she meets the eligibility requirements for a Training Centre Director as set out in section 7.2 of the Funding Rules;

(b) the ARC is notified in writing within five days of the Administering Organisation becoming aware of the circumstances;

(c) a request is made by the Administering Organisation to the ARC in writing within 20 days of the Administering Organisation becoming aware of the circumstances to approve a variation to this Agreement; and

(d) the request is approved by the ARC.

15.3 The request to the ARC must include:

(a) the reason for the departure of the current Training Centre Director;

(b) a curriculum vitae of the proposed Training Centre Director;

(c) agreement from the proposed Training Centre Director to undertake the role;

(d) letters of support from all Other Eligible Organisations, Other Organisations and Partner Organisations agreeing to the appointment of the proposed Training Centre Director; and

(e) a brief explanation of the Project’s continued operation under the proposed Training Centre Director, including, but not limited to, arrangements for the management of the Project and administration of the Funding.

15.4 When the ARC receives notice that the Training Centre Director is unable to continue in this role, the ARC will undertake a review of the Project and its activities to examine the research planning and management arrangements of the Project. The Administering
Organisation must provide any reasonable assistance requested by the ARC to undertake the review.

16 Transfer of the Project

16.1 The transfer of a Project to another Administering Organisation may only be considered if the Training Centre Director is transferring to another Eligible Organisation.

16.2 If, at any time during the Funding Period, the Administering Organisation becomes aware that a Training Centre Director intends to transfer to another Eligible Organisation (‘the recipient Eligible Organisation’), the Administering Organisation must notify the ARC in writing as soon as possible.

16.3 The Administering Organisation must submit a Variation of Funding Agreement to the ARC. The request must provide evidence that all parties agree to the transfer, and that:

(a) the recipient Eligible Organisation agrees to provide support (including costs and in-kind financial support and facilities of commensurate quality) equivalent to or greater than that which would have been provided by the Administering Organisation and which satisfies the requirements of this Agreement and the Funding Rules;

(b) the eligibility and accountability requirements set out in the Funding Rules and the terms and conditions of this Agreement will be met;

(c) the proposed transfer of the Project will not adversely affect the collaboration, critical mass, research and training capability developed at the Administering Organisation;

(d) there is sufficient time available during the remainder of the Funding Period to build collaboration, critical mass research and training capability at the recipient Eligible Organisation;

(e) the research already undertaken will not be put at risk as a result of the proposed transfer; and

(f) Project Personnel and the administration of the Funding will not be adversely affected by the proposed transfer.

16.4 When the ARC receives notice that a Project proposes to transfer its operations to another Eligible Organisation due to the intended transfer of the Training Centre Director, the Scheme Coordinator will undertake a review of the Project and its activities to examine the research planning and management arrangements of the Project, the Administering Organisation and the recipient Eligible Organisation. The Administering Organisation and the recipient Eligible Organisation must provide any reasonable assistance requested by the Commonwealth to undertake the review.

16.5 The ARC will have regard to the circumstances surrounding the proposed transfer and may approve the transfer subject to such conditions as the Commonwealth considers appropriate.

16.6 If the transfer is approved by the ARC, unspent Funds and indicative Funding for the Project and any Assets as set out in clause 22.4 will be provided to the recipient Eligible Organisation, subject to clause 17.6 below.
16.7 If the transfer of Funding and any Assets is approved by the Commonwealth:

(a) the Administering Organisation must:

i. agree to any variation or termination (as applicable) of this Agreement proposed by the Commonwealth to give effect to the changed Funding arrangements;

ii. provide to the Commonwealth in writing, the amount of all unspent Funds for the Project and pay the Commonwealth such unspent Funds;

iii. report expenditure of Funding for the Project prior to the transfer in its End of Year Report and identify the transfer in that Report; and

iv. comply with any other directions reasonably given by the Commonwealth to give effect to the transfer.

(b) the recipient Eligible Organisation must:

i. enter into a new, or vary an existing, Funding Agreement with the Commonwealth to give effect to the changed Funding arrangements;

ii. enter into a written agreement, or agreements, with each Other Eligible Organisation, Partner Organisations and Other Organisation which satisfy the requirements of clause 10 and 11 of this Agreement; and

iii. report expenditure of Funding for the Project after the transfer in its End of Year Report and identify the transfer in that Report.

16.8 Relocation expenses associated with the transfer of any Personnel or Assets from the Administering Organisation to the recipient Eligible Organisation will not be paid by the ARC.

16.9 The Project or any equipment purchased with either the Funding or Contributions from Other Eligible Organisations, Partner Organisations and/or Other Organisations must not be transferred to the recipient Eligible Organisation until ARC approval for the transfer of Funding is granted.

16.10 If the transfer is not approved by the ARC, the Project may be terminated and any unspent Funds recovered by the Commonwealth.

17 Relinquishment of Project

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

17.2 The Administering Organisation must ensure that the Training Centre Director gives notice of one month to the Administering Organisation if they intend to relinquish the Project. The Administering Organisation shall immediately advise the Scheme Coordinator of the relinquishment of the Project by submitting a Variation of Funding Agreement request to the ARC. The End of Year Report must also contain details regarding any Project that has been relinquished.
18 Negation of Employment by the Commonwealth

18.1 Specified Personnel and the Administering Organisation, any Other Eligible Organisation, any Other Organisation and/or any Partner Organisation must not represent themselves as being employees, partners or agents of the Commonwealth, or as otherwise able to bind or represent the Commonwealth.

18.2 Specified Personnel and the Administering Organisation, any Other Eligible Organisation, any Other Organisation and/or any Partner Organisation shall not by virtue of this Agreement 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.

19 Conduct of Research

19.1 The Projects 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.

19.2 The Administering Organisation must ensure that a Project 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.

19.3 All parties involved in or associated with a Project are required to disclose to the Administering Organisation, and the other parties involved in the Project, 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 Project.

19.4 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 *Australian Code for the Responsible Conduct of Research Practice* (2007, updated December 2013). If the Administering Organisation or any Specified Personnel has failed to disclose a Conflict of Interest, the Commonwealth may do any of the things provided for in clause 5.3.

19.5 Each Project must, unless otherwise approved by the ARC in writing, conform to the principles outlined in the following and their successor documents:

(a) the *Australian Code for the Responsible Conduct of Research* (2007, updated December 2013);

(b) as applicable, *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.

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

20.1 The Administering Organisation must establish and comply with its own policies and procedures for the ownership of all Material produced as a result of any Project funded under this Agreement.

20.2 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, specimens or samples collected during, or resulting from, the conduct of their Project;

(b) make arrangements acceptable to the ARC for lodgement with an appropriate museum or archive in Australia of data, specimens or samples collected during, or resulting from their Project; and

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

20.3 The ARC will support publication and dissemination costs as per the Funding Rules.

20.4 All Proposals and ARC-funded research projects must comply with the ARC Open Access policy, which is available at: www.arc.gov.au. In accordance with this policy, the ARC requires that any publications arising from a Project must be deposited into an open access institutional repository within a twelve month period from the date of publication. The ARC encourages the depositing of data arising from a Project in an appropriate publicly accessible subject and/or institutional repository.

20.5 The Final Report must justify why any publications from a Project 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 Project have been made publicly accessible where appropriate.

20.6 This clause survives the expiration or early termination of this Agreement.

21 ARC Assessments

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

21.2 If the ARC determines that a Training Centre Director and/or Chief Investigator fails 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.

21.3 If a Training Centre Director and/or Chief Investigator does not undertake assessment of the assigned proposals within a period specified by the ARC of the notice referred to in clause 21.2 above, the Administering Organisation will be considered to be in breach of
this Agreement and Funding for the relevant Project may be terminated.

22 Assets

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

22.2 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.

22.3 The Administering Organisation shall ensure that any Personnel shall have first priority in the use and operation of equipment purchased for the Project and the Administering Organisation must so far as is practicable, permit persons authorised by the ARC to have priority access to that equipment in preference to other persons.

22.4 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;

(b) the Project is terminated, in which case the ARC may, by notice in writing, require the transfer of any such item of equipment to the Commonwealth; or

(c) the Project is transferred to another organisation in accordance with clause 16, in which case, subject to the agreement of both the Administering Organisation and the recipient Eligible Organisation under that clause, the equipment purchased with Funds provided under this Agreement for the relevant Project may be transferred in accordance with clause 16.9.

23 Intellectual Property

23.1 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 to Australia arising from research. The ARC makes no claim on the ownership of Intellectual Property brought into being as a result of the Projects for which Funding is provided.

23.2 Unless otherwise approved by the ARC, the Administering Organisation’s Intellectual Property policy referred to in clause 23.1 must comply with the National Principles of Intellectual Property Management for Publicly Funded Research as amended from time to time.

23.3 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 Project or the use by the Commonwealth of reports provided by the Administering Organisation under this Agreement.
23.4 The indemnity referred to in clause 23.3 shall survive the expiration or termination of this Agreement.

24 Protection of Personal Information

24.1 The Administering Organisation agrees with respect to all activities related to or in connection with the performance of the Project or in connection with this Agreement:

(a) to comply with the Information Privacy Principles set out in section 14 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 Information 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.

24.2 The Administering Organisation must immediately notify the ARC if the Administering Organisation becomes aware of a breach of its obligations under clause 24.1.

24.3 This clause survives the expiration or early termination of this Agreement.
25 Confidentiality

25.1 Subject to clause 25.2, the ARC agrees not to disclose any Confidential Information of the Administering Organisation, without the Administering Organisation’s consent.

25.2 The ARC will not be taken to have breached its obligations under clause 25.1 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;

(e) 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;

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

(g) that is in the public domain other than due to a breach of this clause 25.

25.3 The Commonwealth warrants that, for a period of three years from the date of submission of the Final Report for the Project it will consult with the Administering Organisation before any information which is contained in any reports related to the Project 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.

26 Acknowledgments, Publications and Publicity

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

26.2 When, at any time during or after completion of a Project, 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 Project, the Administering Organisation must ensure (wherever possible) that the ARC’s contribution and support of the Project is acknowledged in a prominent place and an appropriate form acceptable to the ARC. Similar efforts should be made when publicly speaking about a Project. 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.

26.3 This clause survives the expiration or early termination of this Agreement.
27 **Administration of the Funding**

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

27.2 Records maintained under clause 27.1 must be retained by the Administering Organisation for each 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 Project; or
(b) the final approved carryover of Funds for the Project.

28 **Audit and Monitoring**

28.1 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.

28.2 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.

28.3 The Administering Organisation must:

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

29 **Access to Premises and Records**

29.1 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; and
(b) reasonable assistance to:
   i. inspect the performance of any or all Projects;
locate and inspect Material relevant to any Project 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.

29.2 The access rights in clause 29.1 are subject to:

(a) any agreement to the contrary with a Partner Organisation which can be justified to the satisfaction of the ARC on the grounds of commercial sensitivity (including Intellectual Property considerations);

(b) the provision of reasonable prior notice by the ARC; and

(c) the Administering Organisation’s reasonable security procedures.

29.3 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 29.2 will not apply.

29.4 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.

29.5 Nothing in clauses 29.1 to 29.4 inclusive affects the obligation of each party to continue to perform its obligations under this Agreement unless otherwise agreed between them.

29.6 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.

29.7 This clause survives the expiration or early termination of this Agreement.

30 Reporting Requirements

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

30.2 Key Performance Indicators Report

(a) The Administering Organisation must submit Key Performance Indicators for each Project for ARC approval by 31 May 2014.

(b) The Key Performance Indicators for each Project must include targets for each year of funding against a Standard Key Performance Indicators as well as develop Project Specific Key Performance Indicators and targets for each year of funding for the Project. The ARC will provide the Administering
Organisation with a pro forma and instructions for this report.

(c) The Administering Organisation must report against the agreed Key Performance Indicators annually in Progress Reports as outlined in clause 30.4.

30.3 End of Year Report

(a) The Administering Organisation must submit an End of Year Report by 31 March in the year following each calendar year for which the Funding was awarded. The first End of Year Report is due on 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 Project on a Project-by-Project basis, including:

i. any unspent Funds to be recovered by the Commonwealth;

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 Act, Funds provided by the Commonwealth 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), separate 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.

30.4 Progress Report

(a) The Administering Organisation must submit a Progress Report by 31 March each year following each calendar year for which the Funding was awarded. The first Progress Report is due on 31 March 2015. A form for this report will be provided on the ARC website. The Progress 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, 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 issues, including mitigation strategies;

iii. measurement and account of performance against Key Performance Indicators as set out in clause 30.2;

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, Other Eligible Organisations, Other Organisations and Partner 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 a Progress Report.

(b) If the ARC is not satisfied with the progress of the 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 monies will be recovered by the ARC.

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

30.5 Final Report

(a) Unless otherwise approved by the ARC, the Administering Organisation must ensure that a Final Report is provided for the Project within twelve months of the final payment of Funds by the ARC for the Project 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 Project as stated in the Proposal or any approved revised budget, aims and research plans.

(b) The Final Report must justify why any publications from a Project have not been deposited in an open access institutional repository within 12 months of publication. The Final Report must outline how data arising from the Project 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, the Administering Organisation of the Project may be contacted for further information. If the ARC is not satisfied with the outcomes of the Project, this may be noted against any further proposals under any ARC scheme submitted, on behalf of, the Training Centre Director or Chief Investigators and may be taken into account in the assessment of those proposals.

(e) If the Final Report is not submitted on time this may be noted against any further proposals under any ARC scheme submitted, on behalf of, the Training Centre Director or Chief Investigators and may be taken into account in the assessment of those proposals.

(f) Proposals submitted under any ARC scheme on behalf of any Training Centre Director or Chief Investigator on the Project for which the Final Report is outstanding may be deemed ineligible for approval of funding.

30.6 This clause survives the expiration or early termination of this Agreement.
31 **Australian Research Integrity Committee**

31.1 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).

32 **Copyright in Proposals and Reports**

32.1 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 the Department or another government agency or authority, or Commonwealth Minister or parliamentary committee, where this serves the ARC’s, the Department’s or the Commonwealth’s legitimate interests; or

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

32.2 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.

32.3 This clause survives the expiration or early termination of this Agreement.

33 **Recovery of Unspent Funds or Overpayments of Funds**

33.1 Any unspent Funds may be recovered by the Commonwealth 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.

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

33.3 This clause survives the expiration or early termination of this Agreement.
Indemnity

34.1 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, 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.

34.2 The Administering Organisation’s liability to indemnify the Commonwealth under clause 34.1 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.

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

Insurance

35.1 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 Project 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 worker’s compensation legislation and for taking all other action required as an employer.

Dispute Resolution

36.1 The Parties agree not to commence any legal proceedings in respect of any dispute arising under this Agreement until the procedure provided by this clause 36 has been followed.

36.2 The Parties agree that the following procedure will be used in an expeditious way to resolve a dispute:

(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 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 not 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.

36.3 This clause 36 does not apply to action that the Commonwealth takes, or purports to take, under clause 5, 33 or 37 or where a Party commences legal proceedings for urgent interlocutory relief. (clause 5 relates to payment of funds, clause 33 relates to recovery of unspent Funds or overpayment of Funds, clause 37 relates to termination of the Agreement.)

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

37 **Termination of the Agreement**

37.1 The ARC may immediately terminate Funding for a Project by notice in writing to the Administering Organisation if:

(a) the Administering Organisation commits any breach of this Agreement which the Commonwealth considers is not capable of remedy;

(b) in the opinion of the ARC, progress on the Project is not satisfactory;

(c) the ARC reasonably believes that it has received inaccurate, incomplete or misleading information in relation to the Project, 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, any Specified Personnel, Personnel or an Other Eligible Organisation, Other Organisation or Partner Organisation in connection with the Project;

(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 Project 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.

37.2 If the ARC terminates Funding for a Project under clause 37.1:

(a) the Administering Organisation must immediately take all available and reasonable steps to stop any further expenditure of Funding on the Project;

(b) the Administering Organisation must provide the reports required by this Agreement unless otherwise specified by the Commonwealth; and

(c) the ARC may recover all or any Funding for the Project in accordance with clause 5.3.

37.3 Any amount notified to the Administering Organisation as payable under clause 37 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.

37.4 Subject to clause 22, after the expiration or termination of this Agreement the Administering Organisation retains ownership of all Assets purchased using the Funds.
38 Compliance with Law

38.1 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.

38.2 The Administering Organisation acknowledges that:

(a) Chapter 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 impendiment 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;

(f) 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;

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

38.3 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.


38.4 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.

38.5 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.

39 Liaison

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

Scheme Coordinator
(Industrial Transformation Training Centres) Phone: 02 6287 6600
Fax: 02 6287 6638

Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

Email: ITTC@arc.gov.au

Post-award enquiries and report submission Email: ARC-postaward@arc.gov.au

40 Applicable Law

40.1 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 *Industrial Transformation Training Centres* Projects to receive Funding from the Commonwealth
SCHEDULE B

Research special conditions

B1. *Importation of Experimental Organisms:* The Administering Organisation must ensure that, before experimental organisms are imported into Australia for the purposes of a Project, the Administering Organisation or the Training Centre Director of the Project must obtain agreement in principle for the importation from the appropriate Commonwealth and State authorities.

B2. *Research Involving Humans or other Animals:* If any Project conducted by the Administering Organisation involves 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 are complied with and that the Project may not commence without clearance from the Administering Organisation’s Ethics or Biosafety Committee (or equivalent) and from any other relevant authority.

B3. *Deposition of Biological Materials:* Any biological material accumulated during the course of a Project 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.

B4. *Genetic Manipulation:* If a Project 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 Scheme Coordinator if required to do so. The Administering Organisation must be accredited with the Office of the Gene Technology Regulator.

B5. *Ionising Radiation:* If a Project 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 Scheme Coordinator if required to do so.

B6. *Social Science Data Sets:* Any digital data arising from a Project involving research relating to the social sciences should be lodged with the Australian Data Archive (ADA) for secondary use by other investigators. This should normally be done within two years of the conclusion of any fieldwork relating to the Project research. If a Training Centre Director is not intending to do so within the two-year period, he/she should include the reasons in the Project’s Final Report.
SCHEDULE C

Salary levels and Special Conditions Applicable for Higher Degree by Research candidates and postdoctoral fellows

C1. Minimum Higher Degrees by Research and postdoctoral fellow salaries

C1.1 The figures in the table below are the minimum annual rates and based on the 2014 levels of Funding. They may be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC website.

<table>
<thead>
<tr>
<th>Salary</th>
<th>Rate (2014)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ARC Higher Degree by Research Stipend rates</td>
<td>$30,746</td>
</tr>
<tr>
<td>ARC postdoctoral fellow rates</td>
<td>$104,810</td>
</tr>
</tbody>
</table>

C1.2 The number of funded Higher Degree by Research candidates and postdoctoral fellows per Project and the salary payable for the stipends and fellowships appears in Schedule A. The Administering Organisation must conduct Projects involving Higher Degree by Research candidates and postdoctoral fellows in accordance with the Special Conditions for Higher Degree by Research candidates and postdoctoral fellows specified in this Schedule.

C2. Recruitment

C2.1 The Administering Organisation must undertake a process of competitive national and international recruitment for Higher Degree by Research candidates and postdoctoral fellows to be appointed under the Project, which must include:

- advertisement, selection and offers; and
- demonstrated effort to attract and recruit external and international candidates.

C2.2 Details of the selection and recruitment process must be made available on request to the ARC for periodic audit purposes. These details will impact upon any requests for a carry forward (an extension) of Project funding.

C2.3 The recruitment process described above in C2.1 must be completed and Higher Degree by Research candidates and postdoctoral fellows ready to commence by the final Project commencement date in accordance with clause 13.

C2.4 The Administering Organisation must advise the ARC in writing, as soon as applicable, the name and commencement date of each Higher Degree by Research candidate and postdoctoral fellow funded under this Project.

C3. Commencement of appointments

C3.1 Other than in exceptional circumstances, failure to appoint Higher Degree by Research candidates or postdoctoral fellows within the approved timeframe at clause C2.3 will result in the immediate recovery of the funds allocated to the component.

C3.2 For the purpose of clause C3.1, ‘exceptional circumstances’ includes, but is not limited to:

(a) A Higher Degree by Research candidate or postdoctoral fellow is appointed, then
unexpectedly relinquishes the appointment just prior to the commencement of their term on the Project; or,

(b) Difficulties are encountered in recruiting Higher Degree by Research candidates and/or postdoctoral fellows due to the specialised nature of the Project.

C3.3 In exceptional circumstances the ARC may grant a deferment to the appointment of a Higher Degree by Research candidate or postdoctoral fellow of up to one year from the final date of Project Commencement in clause 13. The Administering Organisation must seek ARC permission through submission of a Variation of Funding Agreement request which will be made available by the ARC. If the ARC does not approve the deferment all unspent funds for the component will be recovered by the ARC.

C3.4 If approved, the deferment of appointing the Higher Degree by Research candidate or postdoctoral fellow does not constitute an extension to the term of the Project. The term of the Higher Degree by Research candidate or postdoctoral fellow must end with the completion of the Project, unless approved by the ARC. The term of the Higher Degree by Research candidate may be extended beyond the Project completion date for the purposes of meeting PhD requirements, however:

(a) the candidate must meet the requirement set out in clause C4.6 by the end of the Project; and

(b) the Administering Organisation will be responsible for ongoing support of the candidate and her/his research project until completion of that project.

The ARC will not supplement the Funds to cover any salary funding in excess of that originally funded for the Project.

C3.5 If a Higher Degree by Research candidate or postdoctoral fellow has not been appointed within the deferment date approved by the ARC, the funds allocated to the component may be recovered. The funds may be approved by the ARC to be converted to Project Funding only in exceptional circumstances.

C4. Duration

C4.1 Higher Degree by Research candidates and postdoctoral fellows are funded for three years, on a full-time basis, subject to Parliamentary appropriations and the receipt of satisfactory Progress Reports as required by clause 30.4.

C4.2 The Administering Organisation must ensure that for the duration of their candidature the Higher Degree by Research candidates funded under the Project are enrolled in a Higher Degree by Research at an Eligible Organisation.

C4.3 The Administering Organisation must ensure that for the duration of the Project the postdoctoral fellows funded under the Project hold a PhD qualification and are an employee for at least half-time (50 per cent Full Time Equivalent) at an Eligible Organisation – this excludes honorary, adjunct or equivalent appointments.

C4.4 Funded Higher Degree by Research candidates and postdoctoral fellows must reside predominantly in Australia for the life of the Project and may seek approval from the Administering Organisation to undertake fieldwork (if requested within the Proposal),
nationally or internationally, or placement in organisation(s) directly related to the Projects within the time limits of the Funding Rules.

C4.5 Relocation expenses associated with the transfer of any Higher Degree by Research candidate and/or postdoctoral fellow from another Eligible Organisation to the Administering Organisation and/or Partner Organisation will not be reimbursed by the ARC. Funds provided under this Agreement may only be used for relocation expenses for Higher Degree by Research candidates and postdoctoral fellow where such costs were requested within the Proposal and are not prohibited by a Special Condition in Schedule A.

C4.6 Higher Degree by Research candidates and postdoctoral fellows funded under the Industrial Transformation Training Centres scheme cannot commence another ARC Award or Fellowship while employed with funds from the Project.

C4.7 The Administering Organisation is responsible for ensuring that Higher Degree by Research candidates and postdoctoral fellows funded under the Project conduct research for a minimum of one (1) year-full-time place within a Partner Organisation (outside the higher education sector) over the life of the Project.

C5. Change of appointment

C5.1 If a Higher Degree by Research candidate or postdoctoral fellow is no longer able to continue in the position, a new Higher Degree by Research candidate or postdoctoral fellow may be selected, in accordance with clause C2, by the Administering Organisation provided that the Higher Degree by Research candidate or postdoctoral fellow meets the eligibility criteria as specified in this Funding Agreement and the research requirements outlined in clause C4.7. The Administering Organisation must seek ARC permission through submission of a Variation of Funding Agreement request which will be made available by the ARC. If the ARC does not approve, or the Administering Organisation does not wish to appoint a replacement Higher Degree by Research candidate, all unspent funds will be recovered by the ARC.

C5.2 The unspent component of Funding provided for the initial Higher Degree by Research candidate or postdoctoral fellow may be used for the replacement Higher Degree by Research candidate or postdoctoral fellow. The ARC will not, however, supplement the Funds to cover any salary funding in excess of that originally funded for the Project. The Administering Organisation will be responsible for any shortfall between the amount of monies provided by the Commonwealth and the amount required for the replacement Higher Degree by Research candidate or postdoctoral fellow.

C5.3 The term of the replacement Higher Degree by Research candidate may be extended beyond the Project completion date for the purposes of meeting PhD requirements. However:

(a) the candidate must meet the requirement set out in clause C4.7 by the end of the Project; and

(b) the Administering Organisation will be responsible for ongoing support of the candidate and their research project until completion of the candidate’s research project.
C5.4 The term of the replacement postdoctoral fellow must finish on the completion date of the Project, unless otherwise approved by the ARC.

C5.5 If a change of appointment is approved by the ARC, the Administering Organisation must advise the ARC in writing of the name and commencement date of the replacement Higher Degree by Research candidate or postdoctoral fellow as soon as applicable. Failure to do so may result in the termination of the component.
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
insert signatory’s title above
of the Australian Research Council

In the Presence of:

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

SIGNED for and on behalf of
<<Administering Organisation>>
by ............................................................
insert name of signatory above
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