Industrial Transformation Research Hubs
Funding Rules for funding commencing in 2013

Australian Research Council Act 2001

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

Dated 16 May 2013

Craig Emerson
Minister for Tertiary Education, Skills, Science and Research
## Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key Dates</td>
<td>4</td>
</tr>
<tr>
<td>Contacts</td>
<td>4</td>
</tr>
<tr>
<td>1. Name of Funding Rules</td>
<td>5</td>
</tr>
<tr>
<td>2. Commencement</td>
<td>5</td>
</tr>
<tr>
<td>3. Definitions</td>
<td>5</td>
</tr>
<tr>
<td>4. Introduction</td>
<td>7</td>
</tr>
<tr>
<td>4.1 Overview</td>
<td>7</td>
</tr>
<tr>
<td>4.2 Industrial Transformation Research Hubs</td>
<td>8</td>
</tr>
<tr>
<td>4.3 Selection Criteria</td>
<td>8</td>
</tr>
<tr>
<td>5. Funding</td>
<td>9</td>
</tr>
<tr>
<td>5.1 Level and Period of Funding</td>
<td>9</td>
</tr>
<tr>
<td>5.2 Budget Items Supported</td>
<td>9</td>
</tr>
<tr>
<td>5.3 Budget Items Not Supported</td>
<td>10</td>
</tr>
<tr>
<td>5.4 Research/Activities Not Supported</td>
<td>11</td>
</tr>
<tr>
<td>6. Organisational Types, Contributions, Roles and Eligibility</td>
<td>11</td>
</tr>
<tr>
<td>6.1 Eligible Organisations</td>
<td>11</td>
</tr>
<tr>
<td>6.2 Partner Organisation</td>
<td>11</td>
</tr>
<tr>
<td>6.3 Partner Organisation Contributions</td>
<td>12</td>
</tr>
<tr>
<td>6.4 Eligibility for Concessional Treatment</td>
<td>13</td>
</tr>
<tr>
<td>6.5 Other Organisations</td>
<td>13</td>
</tr>
<tr>
<td>7. Roles and Eligibility for Researchers</td>
<td>13</td>
</tr>
<tr>
<td>7.1 Researcher Roles and General Eligibility</td>
<td>13</td>
</tr>
<tr>
<td>7.2 Eligibility Criteria for a Hub Director</td>
<td>14</td>
</tr>
<tr>
<td>7.3 Eligibility Criteria for Chief Investigators (CI)</td>
<td>15</td>
</tr>
<tr>
<td>7.4 Eligibility Criteria for Partner Investigators (PI)</td>
<td>15</td>
</tr>
<tr>
<td>8. Proposals</td>
<td>16</td>
</tr>
<tr>
<td>8.1 Number of Proposals and Cross-Scheme Eligibility</td>
<td>16</td>
</tr>
<tr>
<td>8.2 Proposal Eligibility and Duplication</td>
<td>16</td>
</tr>
<tr>
<td>9. Submission of Proposals</td>
<td>17</td>
</tr>
<tr>
<td>9.1 Proposals</td>
<td>17</td>
</tr>
<tr>
<td>9.2 Submission of Proposals in the RMS</td>
<td>17</td>
</tr>
<tr>
<td>9.3 Closing Time for Proposals</td>
<td>17</td>
</tr>
<tr>
<td>9.4 Certification in the RMS</td>
<td>17</td>
</tr>
<tr>
<td>9.5 Conflict of Interest</td>
<td>17</td>
</tr>
<tr>
<td>10. Selection and Approval Process</td>
<td>18</td>
</tr>
<tr>
<td>10.1 Assessment and Selection Process for Proposals</td>
<td>18</td>
</tr>
<tr>
<td>10.2 Rejoinder</td>
<td>18</td>
</tr>
<tr>
<td>10.3 Request Not to Assess</td>
<td>18</td>
</tr>
<tr>
<td>10.4 Recommendations and Offer of Funding</td>
<td>18</td>
</tr>
<tr>
<td>11. Appeals Process</td>
<td>19</td>
</tr>
<tr>
<td>12. Reporting Requirements</td>
<td>20</td>
</tr>
<tr>
<td>12.1 Progress Reports</td>
<td>20</td>
</tr>
<tr>
<td>12.2 End of Year Reports</td>
<td>20</td>
</tr>
<tr>
<td>12.3 Final Report</td>
<td>20</td>
</tr>
<tr>
<td>12.4 Audited Financial Statement</td>
<td>20</td>
</tr>
</tbody>
</table>
13. **Fundamental Principles of Conducting Research** .......................................................... 21
   13.1 Ethics and Research Practices 21
   13.2 Applicable Law 21
   13.3 Confidentiality 21
   13.4 Intellectual Property 22
   13.5 Incomplete or Misleading Information 22
   13.6 Publication and Dissemination of Research Outputs 23

**Appendix A - Eligible Organisations** .............................................................................. 24
Key Dates

It is anticipated that up to four (4) Selection Meetings will be held per year. Please refer to the Important Dates page on the ARC website for key dates and updates relevant to these Funding Rules at www.arc.gov.au/media/important_dates.htm.

Contacts

Researchers and industry applicants should direct requests for information to the Research Office within the relevant eligible organisation in the first instance. For additional information Research Offices may contact the ARC directly.

ARC Contacts:
by mail to:  
*Industrial Transformation Research Hubs Coordinator*
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

by courier to:
*Industrial Transformation Research Hubs Coordinator*
Australian Research Council
Level 2, 11 Lancaster Place, Majura Park
CANBERRA ACT 2609

Email: ITRH@arc.gov.au
Phone: 02 6287 6600
Fax: 02 6287 6638
Web: www.arc.gov.au

Appeals must be addressed and sent:
by mail to:  
The Appeals Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or by courier to:
The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place, Majura Park
CANBERRA ACT 2609

Or by email to:
appeals@arc.gov.au

Other:
RMS User IDs:
Email: rms@arc.gov.au

Post-award enquiries and report submission:
Email: ARC-postaward@arc.gov.au
1. **Name of Funding Rules**
These Funding Rules are the Australian Research Council *Industrial Transformation Research Hubs Funding Rules for funding commencing in 2013*.

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

3. **Definitions**
In these Funding Rules, unless the contrary intention appears:

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

**Administering Organisation** means an Eligible Organisation which submits a Proposal for funding under the *Industrial Transformation Research Hubs* scheme and which will be responsible for the administration of the funding if the Proposal 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** means the *Australian Research Council Act 2001*.

**ARC Award** means a named Award within any ARC scheme where the salary is funded wholly or partly by the ARC, and includes *Discovery Outstanding Researcher Award, Discovery Indigenous Award* or *Discovery Early Career Researcher Award*.

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

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

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

**Commonwealth** means the Commonwealth of Australia.

**Commonwealth Fellowship** means a position held by a researcher where the salary is funded wholly or partly by the Commonwealth.

**Conflict of Interest** means any conflict of interest, any risk of a conflict of interest and any apparent conflict of interest arising through a party engaging in any activity, participating in any association, holding any membership or obtaining any interest that is likely to conflict with or restrict that party participating in the Project.
Consultancy means the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s).

**Eligible Organisation** means an organisation listed in Appendix A.

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

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

**Hub Director** means a researcher who satisfies the eligibility criteria for a Hub Director under these Funding Rules.

**Hub Manager** means a person with relevant industrial skills and experience who is able to manage and facilitate the day-to-day cooperation between Eligible and Partner Organisations.

**Industry Advisory Panel** (IAP) means a group of experts appointed to assist the ARC to identify and evaluate excellence in industry-relevant research.

**Industrial Transformation Priorities** means priority research areas identified by the ARC and updated from time-to-time on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).

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

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

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

**NCGP** means the *National Competitive Grants Program*.

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

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

**Other Organisation** means an organisation which is listed in an *Industrial Transformation Research Hubs* Proposal and is not an Eligible Organisation or a Partner Organisation.

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

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

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

**Proposal** means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.
**Research Environment** means the laboratory, department, school, centre or institute within an Administering Organisation, Other Eligible Organisation or Partner Organisation where research will be undertaken.

**Research Hubs** means the specific activity or Project to be implemented under the *Industrial Transformation Research Hubs* scheme.

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

**RMS** means the ARC’s online Research Management System.

**UA** means Universities Australia.

4. **Introduction**

4.1 **Overview**

4.1.1 These Funding Rules are a legislative instrument, current as at the date of signing by the Minister, and have been prepared in accordance with the requirements of the ARC Act in force then.

4.1.2 The *Industrial Transformation Research Program* includes several elements; these Funding Rules specifically address one element, the *Industrial Transformation Research Hubs*, a scheme that will engage Australia’s best researchers in issues facing the new industrial economies and training the future workforce. This scheme will support collaborative research activity between the Australian higher education sector and industry designed to focus on strategic outcomes not independently realisable.

4.1.3 The *Industrial Transformation Research Hubs* scheme is funded under the Linkage Program of the ARC’s *National Competitive Grants Program*.

4.1.4 The *Industrial Transformation Research Hubs* scheme will provide funding to Eligible Organisations to engage in cutting edge research on new technologies and economic and social transformation and support the development of research in the Industrial Transformation Priorities. A strong collaboration and commitment of resources from innovative national and international industries is required; in turn the ARC will provide up to $1 million per annum funding for each Research Hub for a maximum of five (5) consecutive years.

4.1.5 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

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

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4.1.6 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the National Competitive Grants Program.

4.2 Industrial Transformation Research Hubs

4.2.1 The objectives of the Industrial Transformation Research Hubs scheme are to:

a. encourage collaborative R&D projects to solve challenging industry issues through innovative research relevant to the Industrial Transformation Priorities;

b. attract investment from the local, global and international business community by underpinning the internationally-recognised excellence of Australian universities and their industry partners; and

c. leverage national and international investment in targeted industry sectors.

4.2.2 Industrial Transformation Research Hubs funding will be awarded on the basis of excellence though a competitive peer review process.

4.3 Selection Criteria

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

a. Proposed Project (30%)

- Does the research clearly address one or more of the Industrial Transformation Priorities?

- Does the project involve high quality innovative national and international partnership(s)?

- Does the method and approach proposed address the objectives of the Industrial Transformation Research Hubs scheme?

- Is the conceptual/theoretical framework, genuinely integrated, broad, cross-disciplinary, innovative and original?

- Will the aims, concepts, methods and results advance knowledge and provide industry outcomes?

b. Feasibility and Benefit (30%)

- Is the design of the Project and the expertise of the participants sufficient to ensure the Project can be completed within the proposed budget and timeframe?

- Does the Project have a wide level of collaboration, including the development of national and international networks and linkages?

- Does the Research Environment provide high-quality intellectual support for the Project?

- Will the Project build research capacity in the Partner Organisation(s)?

- Are the necessary facilities to complete the Project available?

- Are there adequate strategies to encourage dissemination, promotion, and the commercialisation of research outcomes?

- Is there a clearly identified benefit to Australian industry?
c. Capacity and Commitment from Partner Organisation(s) (20%)
   - Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the Project?
   - Is there evidence that the Partner Organisation(s) have the capacity to support the Project?
   - Does the proposed Project represent value for money?
   - Is the budget justification of the Cash and In-kind Contributions adequate?

d. Investigator(s) (20%)
   - Research opportunity and performance evidence (ROPE).
   - Experience in management of collaborative industrial and end-user focused research.
   - Time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s).

5. Funding

5.1 Level and Period of Funding
5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.

5.1.2 The minimum level of funding provided by the ARC under *Industrial Transformation Research Hubs* is $500,000 per year of funding and the maximum is $1 million per year of funding per Project.

5.1.3 A Project may be applied for and awarded funding for up to five (5) consecutive years, subject to sufficient funding being available for the *Industrial Transformation Research Hubs* scheme, the provisions of the ARC Act, and continued satisfactory progress of the Hub.

5.1.4 The ARC reserves the right to recommend levels of funding for a Project at levels that may differ from those requested in the Proposal.

5.1.5 Funding for approved Projects will commence after Ministerial announcement or other arrangements that are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act, and continued satisfactory progress of the Project.

5.2 Budget Items Supported
5.2.1 Budget items that directly support a research Project may be funded, including:
   a. Expenditure on fieldwork essential to the project, including technical and logistical support, and travel and accommodation costs.
   b. Expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:
      i. language translation services, transcribing services;
      ii. workshop services, data collection and analysis services; and
iii. purchase of bibliographical or archival material (electronic or hard copy).

c. Maintenance and access to infrastructure and equipment required for the Project. Funding will not be provided for infrastructure or equipment that is deemed to be for broad general use.

d. Personnel:
   i. salary support for a Hub Manager, research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 28 per cent on-costs, for the Administering Organisation; and
   ii. stipends for Higher Degree by Research (HDR) students, in whole or in part, at an appropriate level for the Administering Organisation or the relevant industry.

e. Specialised computer equipment and software essential to the Project.

f. Teaching relief for CIs up to a total value of $50,000 per year where it is demonstrated that it will enhance engagement with the Partner Organisation(s).

g. Travel costs essential to the Project, including economy travel costs for domestic and/or international travel and not exceeding $50,000, over the life of the project. Funding is permitted for CIs and PIs and research support personnel. Travel costs related to carrying out field research are not included.

h. Website development and maintenance for the dissemination of Research Hub outputs.

5.2.2 All budget items must be justified in the Proposal to the satisfaction of the ARC.

5.3 Budget Items Not Supported

5.3.1 Budget items that will not be supported by ARC funding and should not be requested in the budget include:
   a. bench fees or similar laboratory access fees;
   b. capital works and general infrastructure costs, in whole or in part;
   c. costs not directly related to research, for example, professional membership fees, fees for patent application and holding, visas, relocation costs, insurance, and mobile phones (purchase or call charges);
   d. fees for international students or Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students; and
   e. salaries and/or on-costs, in whole or in part, for the Hub Director, CIs or PIs.

5.3.2 The following basic facilities must be provided and funded by the Administering Organisation:
   a. access to a basic library collection;
   b. access to film or music editing facilities;
   c. accommodation (for example, laboratory and office space, suitably equipped and furnished);
   d. provision of basic computer facilities such as desktop computers, portable computer devices, printers, word processing and other standard software;
e. standard reference materials or funds for abstracting services; and
f. use of photocopiers, telephones, mail, fax, email and internet services.

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

5.4 Research/Activities Not Supported

5.4.1 Except where such activities meet the definition of research in subsection 4.1.5, the Industrial Transformation Research Hubs scheme does not support production of:

a. compilation of data, computer programs, research aids and tools;
b. descriptive data compilations, catalogues or bibliographies; or
c. teaching materials.

5.4.2 The Industrial Transformation Research Hubs scheme does not support:

a. Projects where one or more Partner Organisation is seeking expert external assistance, not available within their own organisation, in order to develop specific applications or outputs which:
   i. involve little innovation or are low risk; and/or
   ii. the ARC deems to be essentially contracted research or a Consultancy arrangement.

b. Projects that do not significantly enhance links with organisations outside the Australian publicly funded research and higher education sectors.

c. Medical and Dental Research. Where a proposal satisfies all other eligibility requirements set out in the Funding Rules, the ARC may support Projects where the primary aim is a commercial outcome in addition to R&D and the Project does not include clinical trials.

6. Organisational Types, Contributions, Roles and Eligibility

6.1 Eligible Organisations

6.1.1 A Proposal may only be submitted by an Eligible Organisation listed at Appendix A, through its Research Office.

6.1.2 The Eligible Organisation which submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations.

6.1.3 The Administering Organisation and Eligible Organisation(s) must demonstrate a significant contribution of cash, in-kind or other material resources, having regard to the total cost of the Project and the relative contribution of the Hub Director and/or each CI.

6.2 Partner Organisation

6.2.1 A Proposal must include at least one Australian Partner Organisation.

6.2.2 Partner Organisation participation is required for the duration of the Project.
6.2.3 To be eligible as a Partner Organisation, an organisation cannot be:
   a. an Eligible Organisation as listed in Appendix A;
   b. a controlled entity of any Eligible Organisation; or
   c. an entity (for example a joint venture) where more than 50 per cent is owned by
      one or more Eligible Organisations.

6.2.4 For each Partner Organisation, three (3) conditions must be met. There must be:
   a. evidence of on-going collaboration between the Partner Organisation and the
      Administering Organisation beyond the funding period;
   b. no duplication of Commonwealth funding for the research and/or activities
      funded for the Project; and
   c. a contribution of cash and/or in-kind or other material resources from each
      Partner Organisation, having regard to the total cost of the Project and the
      relative contribution of each PI.

6.2.5 A Proposal should include details of the collaborative arrangements proposed,
   including how each Partner Organisation is involved in the Project, how the Project
   fits into each Partner Organisations’ overall strategic plan and how the Project is of
   value to each of the Partner Organisation(s) involved.

6.2.6 A Proposal submitted in RMS must include a letter of support from each Partner
   Organisation pursuant to subsection 6.3.11.

6.3 Partner Organisation Contributions

6.3.1 Contributions from Partner Organisation(s), cash and in-kind, must be specific to the
   Project and must not be part of a broader contribution to an Administering
   Organisation.

6.3.2 The Proposal must demonstrate that the combined Partner Organisation(s)
   contributions (i.e. the total of the cash and in-kind contributions of the Partner
   Organisations) must at least match the total funding requested from the ARC.

6.3.3 Pursuant to subsection 6.3.2, a Proposal may seek a minimum of $500,000 and up to
   $1 million a year from the ARC.

6.3.4 The combined Partner Organisation(s) Cash Contribution where any Partner
   Organisation has more than 100 employees must be at least 75 per cent of the total
   funding requested from the ARC. Where the Partner Organisation or the largest
   Partner Organisation in a consortium in the proposal has 100 employees or less,
   there is no minimum combined Partner Organisation(s) Cash Contribution.

6.3.5 Cash Contributions cannot be sourced from funds awarded or appropriated by the
   Commonwealth or an Australian State or Territory for the purposes of research nor
   from funds previously used to leverage government research funding.

6.3.6 There is no upper limit on the combined Partner Organisation(s) In-kind
   Contributions.

6.3.7 The Partner Organisation Cash Contribution must not be a contribution to salaries
   for CIs and PIs on the Project.
6.3.8 Partner Organisation contributions must be specified in Australian dollars and, subject to these Funding Rules, contributed at the specified level regardless of currency fluctuations.

6.3.9 In-kind Contributions must be essential and central to the Project. It is the responsibility of the Administering Organisation to establish the merit of the case for recognition of In-kind Contributions.

6.3.10 The ARC reserves the right to determine the levels of Partner Organisation contributions and may determine contributions to be at levels that may differ from those submitted in a Proposal.

6.3.11 Each Partner Organisation’s letter of support must:
   a. include the official letterhead;
   b. be of no more than two A4 pages;
   c. include a brief profile of the organisation;
   d. provide details of the Cash and In-kind Contributions;
   e. demonstrate the source of its Cash Contribution;
   f. certify that no part of its Cash Contribution is drawn from funds previously appropriated or awarded from government sources for the purposes of research;
   g. state its expectations about industry outcomes/products and market value;
   h. certify that it will meet the requirements outlined in a standard Funding Agreement, including the requirement to enter into arrangements regarding intellectual property; and
   i. be signed by the Chief Executive Officer, or delegate.

6.4 Eligibility for Concessional Treatment

6.4.1 Partner Organisation contributions to the Industrial Transformation Research Hubs may be eligible for a R&D Tax Incentive to the extent that the expenditure is incurred by an eligible company in respect of eligible R&D activities and provided that all other relevant requirements are met.

6.4.2 Detailed information on the eligibility requirements for the Australian Government’s R&D Tax Incentive can be found at www.ausindustry.gov.au.

6.5 Other Organisations

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

7. Roles and Eligibility for Researchers

7.1 Researcher Roles and General Eligibility

7.1.1 Roles that may be nominated in a Proposal are:
   a. Hub Director;
   b. Chief Investigator (CI); or
   c. Partner Investigator (PI).
7.1.2 The following roles must be nominated in a Proposal:

a. at least two (2) CIs from the Administrating Organisation, where one (1) will be the Hub Director;

b. at least one (1) CI from each Eligible Organisation; and

c. at least one (1) PI from each Partner Organisation.

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

7.1.3 A researcher nominated as a Hub Director, CI or a PI must take significant intellectual responsibility for the proposed Research Hub, its conception, and any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment to the Project. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.

7.1.4 A researcher undertaking undergraduate studies or higher degree by research is not eligible to be a Hub Director or CI on the Project.

7.1.5 If the ARC considers that a researcher nominated as a Hub Director, CI or PI does not meet the eligibility criteria for the role that researcher is to perform, the Proposal may be deemed ineligible.

7.1.6 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the nominated Hub Director and CIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

7.1.7 A researcher cannot participate as a Hub Director or CI on a Proposal if they hold a position as a Director, Board Member or have a financial interest (salary, contract or equity) in a proposed Partner Organisation for a Project. This exclusion does not confer PI eligibility under 7.4.1.a.

7.2 Eligibility Criteria for a Hub Director

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

7.2.2 The Hub Director will be responsible for developing and implementing the strategies and managing the research Project in cooperation with the Hub Manager. The Hub Director must coordinate the research effort and reporting structures across the Eligible Organisation(s) and Partner Organisation(s).

7.2.3 The Hub Director is expected to demonstrate that they have the time and capacity to engage effectively in the activities of the Project. If a Hub Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.

7.2.4 If a Proposal has been approved for funding and the Hub Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Hub Director provided that:

a. prior approval is obtained from the ARC for the change in Hub Director;
b. a replacement Hub Director meets the eligibility criteria for a Hub Director and those for a CI at the time of her/his nomination and for the full term of her/his participation in the Project, and the reasons for replacement justified to the satisfaction of the ARC; and

c. the Administering Organisation has obtained approval from the Partner Organisation(s) for the change in Hub Director.

7.3 Eligibility Criteria for Chief Investigators (CI)

7.3.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at the commencement of the Project and for the duration of the Project:

a. be an employee for at least half-time (50 per cent of Full Time Equivalent) at one Eligible Organisation; or

b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation listed in Appendix A and not be employed more than 50 per cent of Full Time Equivalent at another organisation that:

c. is outside the higher education sector; and

d. engages in research funded predominantly from state/territory or Commonwealth Government funding sources.

7.3.2 A CI must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. A CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

7.3.3 A CI must reside predominantly in Australia for the full life of the Project. A CI may seek approval from the Administering Organisation to undertake fieldwork, or study leave, directly related to the Project. Such absences must not total more than half the Project funding period.

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

7.4 Eligibility Criteria for Partner Investigators (PI)

7.4.1 A participant nominated as a PI on a Proposal must not:

a. meet the eligibility criteria for a CI; or

b. be an employee of an Eligible Organisation.

7.4.2 Notwithstanding 7.4.1b, a researcher who is an employee of an Eligible Organisation listed in Appendix A who does not reside predominantly in Australia may be a PI.

7.4.3 A PI must:

a. take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results; and/or
b. have the experience and capacity to provide effective supervision, support and mentoring of research personnel associated with the Project; and/or

c. have the relevant skills and experiences to effectively manage a similar scale research Project.

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

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

8. **Proposals**

8.1 **Number of Proposals and Cross-Scheme Eligibility**

8.1.1 A CI may submit and/or be funded concurrently for a maximum of two (2) Projects under the Industrial Transformation Research Program.

8.1.2 A Hub Director may submit and/or be funded concurrently for a maximum of one (1) *Industrial Transformation Research Hubs* Project as a Hub Director, and one (1) *Industrial Transformation Training Centres* Project as a CI.

8.1.3 A CI or Hub Director cannot be involved in more than the maximum number of Projects permitted. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding and the number of Proposals submitted for funding. A Project is considered to be funded for the years set out in the Funding Agreement.

8.1.4 A Proposal may only be submitted once in the same funding round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

8.1.5 Applicants should note the eligibility criteria for access to other funding schemes, as expressed in the Funding Rules for those schemes. The ARC reserves the right to change these criteria in future funding rounds. Funding Rules for all ARC schemes may be found on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).

8.2 **Proposal Eligibility and Duplication**

8.2.1 The ARC will not duplicate funding for research, including infrastructure funded by the Commonwealth as at 1 July 2013.

8.2.2 The Proposal must list all current funding and requested funding for the Hub Director, CIs and PIs under any ARC scheme, including Projects, Awards and Fellowships, or any other Commonwealth funding scheme.

8.2.3 A Proposal may only be submitted where the research addresses one or more of the Industrial Transformation Priorities for the current round.

8.2.4 The ARC will assess whether a Proposal meets the eligibility requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.
8.2.5 A decision under subsection 8.2.4 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal to the next level of assessment.

9. **Submission of Proposals**

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

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

9.3 **Closing Time for Proposals**
9.3.1 The online form completed within the RMS must be submitted by the closing date and time on the Important Dates page on the ARC website at [www.arc.gov.au/media/important_dates.htm](http://www.arc.gov.au/media/important_dates.htm).
9.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
9.3.3 Upon receipt of a written request from the Administering Organisation the ARC may approve the withdrawal of a Proposal. The ARC will consider the request to withdraw a Proposal but may choose not to give effect to such a request.

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

9.5 **Conflict of Interest**
9.5.1 Each party involved in a Proposal must declare at the date of submission and describe in the application any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.
9.5.2 The ARC’s Conflict of Interest policy and management practices are available on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).
9.5.3 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the NHMRC/ARC/UA *Australian*
10. Selection and Approval Process

10.1 Assessment and Selection Process for Proposals

10.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister based on any number of assessments or solely on the basis of its expertise.

10.1.2 All Proposals will be considered against eligibility criteria and compliance with the Funding Rules.

10.1.3 All Proposals may be:

a. assigned to independent assessors, from a range of organisations, who will assess and report and may provide written comments on the Proposal against the selection criteria; and

b. ranked and allocated a budget, relative to other Proposals, by a committee drawn from the Industry Advisory Panel (IAP), on the basis of the Proposal and any assessors’ reports and any rejoinder.

10.1.4 The ARC may exclude Proposals at any time during the selection process. Grounds for exclusion include, but are not limited to:

a. not meeting the eligibility criteria set out in these Funding Rules; or

b. providing incomplete, inaccurate or misleading information.

10.1.5 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the IAP, members of other ARC committees and ARC staff. Details of these procedures are available on the ARC website at www.arc.gov.au/about_arc/coe_guidelines.htm#conflict.

10.2 Rejoinder

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

10.3 Request Not to Assess

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

10.4 Recommendations and Offer of Funding

10.4.1 In accordance with the ARC Act, the ARC Chief Executive Officer will submit funding recommendations to the Minister for consideration. The Minister will...
10.4.2 Under the ARC Act, the Minister cannot approve funding for any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.

10.4.3 All Administering Organisations will be notified of the outcomes of their Proposals (including Proposals not recommended for funding). Outcomes, funding allocations and other relevant information about the successful Proposal will be published on the ARC website.

10.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding offered; and provided with a copy of a Funding Agreement for signing. Outcomes of the selection process are also made available on the ARC website.

10.4.5 The Minister may vary the funding approval if the ARC recommends that the particular circumstances of the Project warrant variation. Any variation or change will accord with the Industrial Transformation Research Hubs Funding Rules and Funding Agreement.

10.4.6 If the ARC funding approved for a Project varies from the amount requested, pro rata adjustments may be made to the Partner Organisation contributions.

11. **Appeals Process**

11.1.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the applicant has been treated fairly and consistently in the context of the selection procedures.

11.1.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome.

11.1.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at [www.arc.gov.au/applicants/appeals.htm](http://www.arc.gov.au/applicants/appeals.htm), authorised by a Deputy Vice Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received within 28 days of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm on the date of submission of the appeal.

11.1.4 Appeals must be addressed and sent to the Appeals address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy Appeal submissions.

11.1.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options. Regarding available options for external appeal, the Administrative Appeals Tribunal does not have general power to review ARC decisions.
12. Reporting Requirements

12.1 Progress Reports

12.1.1 Administering Organisations must submit reports to the ARC concerning the Research Hubs in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au/applicants/reported_requirements.htm.

12.1.2 The Research Hubs will be required to report on a range of research objectives (and related indicators) to be developed by the ARC and as outlined in the Proposal every twelve (12) months after the commencement of the Project.

12.1.3 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding funding will be recovered by the ARC.

12.2 End of Year Reports

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

12.3 Final Report

12.3.1 A Final Report must be submitted for the Project within 12 months of the final payment or within 12 months of the final approved carryover funds as directed by the ARC. Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au/applicants/reported_requirements.htm.

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

12.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by the associated Hub Director and CIs with the Project.

12.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

12.4 Audited Financial Statement

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

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

13.1 Ethics and Research Practices

13.1.1 All Proposals and ARC-funded research Projects must conform to the principles outlined in the following and their successor documents:

a. NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007);

b. as applicable, NHMRC/ARC/UA *National Statement on Ethical Conduct in Human Research* (2007);

c. as applicable, AIATSIS *Guidelines for Ethical Research in Australian Indigenous Studies* (2011); and

d. as applicable, codes on animal research promulgated by the NHMRC.

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

13.2 Applicable Law

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

13.3 Confidentiality

13.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:

a. disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;

b. disclosed to ARC personnel to enable effective management or auditing of the ARC *Industrial Transformation Research Hubs* scheme or any Funding Agreement;

c. disclosed by the ARC to the Minister;

d. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth’s legitimate interests;

e. authorised or required by law to be disclosed;

f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or

g. in the public domain.

13.3.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.

13.3.3 Notwithstanding the above, and in addition to the exemptions listed at subsection 13.3.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of nominated Hub Director, CIs
or PIs and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the Project; the title and summary descriptions of the Project and its intended outcomes; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

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

13.4 Intellectual Property

13.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from a Project.

13.4.2 The Administering Organisation must adhere to an intellectual property policy, approved by the Administering Organisation’s governing body, which has as one of its aims the maximisation of benefits to Australia arising from research. Unless otherwise approved by the Commonwealth, the Administering Organisation’s Intellectual Property policy must comply with the National Principles of Intellectual Property Management for Publicly Funded Research as amended from time to time.

13.5 Incomplete or Misleading Information

13.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.

13.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

13.5.3 A decision under subsection 13.5.2 may be made by the ARC at any stage during the assessment of the Proposal and may result in non-progress of the Proposal to the next level of assessment.

13.5.4 Examples of misleading information and misconduct include:
   a. providing fictitious research opportunity and performance evidence;
   b. plagiarism;
   c. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
   d. making false claims in relation to qualifications and/or appointments;
   e. making false certifications in the RMS certification; or
   f. failing to disclose to the ARC the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).
13.6 Publication and Dissemination of Research Outputs

13.6.1 Publication and dissemination of Project outputs and outreach activity costs may be supported at up to two (2) per cent of total non-salary ARC funding awarded to the Project, and no prior approval is required; nor does this need to be separately itemised at time of application. This excludes fees for patent application and maintenance.

13.6.2 All Proposals and ARC-funded research projects must comply with the ARC Open Access policy on the dissemination of research findings, which is available at: [www.arc.gov.au](http://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 strongly encourages the depositing of data arising from a Project in an appropriate publicly accessible subject and/or institutional repository. See also clause 12.3.2.
Appendix A  Eligible Organisations

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

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

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

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

**Western Australia**
- Curtin University of Technology
- Edith Cowan University
- Murdoch University
- The University of Notre Dame Australia
- The University of Western Australia
South Australia
   The Flinders University of South Australia
   The University of Adelaide
   University of South Australia

Tasmania
   University of Tasmania

Northern Territory
   Batchelor Institute of Indigenous Tertiary Education
   Charles Darwin University

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