



**Australian Government**

**Australian Research Council**

# General Assessor Handbook

A guide for **General** Assessors on the selection and assessment under the **Linkage Program** grant opportunities for

Research Hubs - IH24

Training Centres - IC24

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## Contents

1. Overview .....	3
2. The assessment process.....	3
2.2 Scoring and ranking assessments .....	6
2.3 Important factors to consider when assessing .....	7
3. General Assessors: Selection Advisory Committee (SAC) meeting preparation .....	9
3.1 Roles and responsibilities before the SAC meeting .....	9
3.2 Roles and responsibilities at the SAC meeting and information on the Selection Meeting .....	11
4.1 Confidentiality and Conflict of Interest (COI) .....	12
4.2 Research integrity and research misconduct .....	13
4.3 Applications outside the General Assessor's area of expertise .....	13
4.4 Eligibility.....	13
4.5 Unconscious bias .....	14
5. Contact details for queries during the assessment process .....	14
Appendix: ITRP Program Scoring Matrix and assessment criteria considerations .....	14
ITRP Research Hubs (IH24) .....	14
Training Centres (IC24) .....	17

# 1. Overview

This Handbook provides instructions and advice for **General** Assessors on the assessment process for:

1. Research Hubs (IH)
2. Training Centres (IC)

These schemes are part of the Linkage Program of the Australian Research Council's (ARC) [National Competitive Grants Program \(NCGP\)](#).

The ARC's Linkage funding schemes aim to:

- encourage and extend cooperative approaches to research; and
- improve the use of research outcomes by strengthening links within the innovation system in Australia and internationally.

Linkage promotes national and international research partnerships between researchers and business, industry, community organisations and other publicly funded research agencies.

Through these partnerships, the ARC encourages the transfer of skills, knowledge and ideas as a basis for securing commercial and other benefits of research.

The specific objectives and assessment criteria for each of the grant opportunities covered in the Handbook are listed in the Appendix, and are also available in the relevant Grant Guidelines on [GrantConnect](#).

## 2. The assessment process

Peer review is the method used to assess ARC applications and is undertaken by 2 groups of experts known as General and Detailed Assessors. Experts from each group assess applications against the relevant grant opportunity assessment criteria and contribute to the process of scoring and ranking research applications. Detailed Assessors comments should be useful for both General Assessors and applicants. Detailed Assessors' comments and scores are considered by General Assessors as part of their assessment of applications, while Detailed Assessors' comments are treated in applicants' rejoinders. The objective of the assessment process is to ensure that the highest quality research applications are recommended to the ARC Chief Executive Officer (CEO) for funding. The CEO then makes recommendations to the relevant Minister who decides which projects will be allocated funding under the NCGP.

The [Research Management System \(RMS\)](#) is the online system used for the preparation and submission of research applications, assessments and rejoinders for the ARC. The [RMS User Guide for Assessors](#), assists **General** and **Detailed** Assessors to navigate the RMS assignment and assessment process. This User Guide is available on the ARC [Assessor Resources](#) page. Here, assessors can also find additional information about the peer review process.

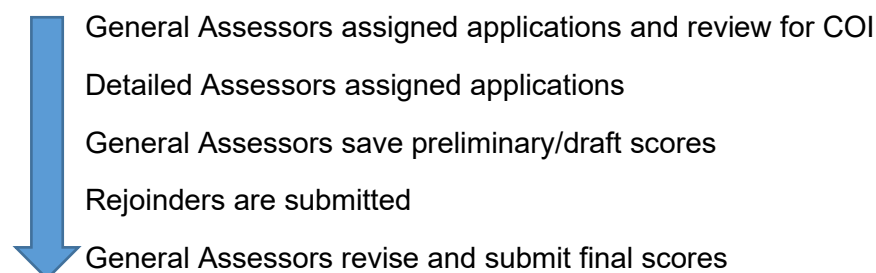
General and Detailed Assessors have different roles in the peer review process. Key aspects of the role of General Assessors are outlined in Sections 2.1.

Assessor scores and comments are now available to unsuccessful applicants once grant outcomes are announced in RMS. General Assessors need to be aware that the scores released to applicants are those submitted by General Assessors prior to the RMS Meeting Application being finalised for the SAC meeting.

### Order of the assessment process

The following diagram provides an overview of the assessment process.

### Diagram 1: Overview of the General Assessor Assessment Process



## 2.1 General Assessors

### RMS profile

It is important that General Assessors ensure that their RMS profile is up-to-date and contains the following details:

1. **Expertise text:** Please outline your expertise briefly. The following format is suggested “My major area of research expertise is in a, b, c. I have additional research experience in q, r, s. I would also be able to assess in the areas of x, y, z. The research facilities, techniques and methodologies I use are l, m, n”.
2. **Field of Research (FoR-2020) Codes:** Please include between 6 and 10 FoR codes at the 6-digit level that reflect your key areas of expertise.
3. **Employment History:** Please ensure that your employment history is kept up to date, to enable your organisational conflicts of interests to be identified in RMS.
4. **Personal Details:** Please ensure your personal details are up to date, including conflicts of interest and personal material interest declarations.

This information will be used to match assessors with applications and should accurately represent your research expertise.

### The Selection Advisory Committee

The Selection Advisory Committee (SAC) is responsible for reviewing applications, Detailed Assessors' assessments, and applicants' rejoinders, and for final deliberations and recommendations to the ARC Chief Executive Officer.

For each grant opportunity, Executive Directors select General Assessors to form a SAC. SAC members have a crucial role in the peer review process. SACs may include members from the ARC College of Experts (CoE) and other eminent members of the wider academic community and/or key industry groups. SACs may also be divided into panels of different disciplines depending on the scheme under assessment. SAC members are chosen to provide a combination of relevant expertise and experience to support the objectives of the grant opportunity.

Following the deadline for submission of applications, ARC Executive Directors assign each application to General Assessors. The lead General Assessor (Carriage 1) is usually closely associated with the application's academic field and other General Assessor(s) (Other Carriage) have supplementary expertise. Carriage 1 has primary responsibility for the application, which will include speaking to the application and its assessments and rejoinder at the SAC meeting. Other Carriages have a responsibility to assist Carriage 1 in resolving initial recommendations, often through discussions in advance of the SAC meeting, and adding their evaluation to Carriage 1's during the SAC meeting.

**Note:** *General Assessors are not required to agree on or align their scores for an application, but if the scores are disparate, they need to understand why their opinions differ to facilitate discussion at the SAC meeting.*

Detailed Assessors are assigned by either Carriage 1 or an Executive Director at the ARC depending on the scheme under assessment. The number of Detailed Assessors required to be assigned for each

specific grant opportunity, including reserves, is shown on the assignment page in RMS and communicated to General Assessors via email.

If Carriage 1 is required to assign Detailed Assessors, they are asked to select assessors to achieve a gender-balanced and discipline appropriate evaluation of the application.

We ask General Assessors to ensure that multiple assessors from the same organisation are not assigned to the same application.

After assigning the required number of assessors in RMS and following the ARC's announcement of assignments, the Carriage 1 may notice that some applications appear to need more assignments. This is due to the previously assigned assessors rejecting the assessment or not responding, but no further action is required from the Carriage 1. The monitoring of assignments, acceptance, rejection and submission is managed by ARC staff. If the assigned Detailed Assessors and reserves become unavailable, an ARC Executive Director will assign additional Detailed Assessors.

## **Cross-panel applications**

Cross-panel applications are applications with General Assessors on more than one panel assessing the application due to the cross-disciplinary nature of the application. Cross-panel applications undergo the same assignment and assessment process as all other applications. Cross-panel applications are assessed in the Selection Advisory Meeting where the Carriage 1 is assigned.

General Assessors assigned to a cross-panel application who are not Carriage 1 and are from a different panel (for expertise), will not have access to the application in the RMS Meeting Application, so will not be able to see the final ranking of the application, and will need to ask the Carriage 1 for this information. A cross-panel application will not be automatically tagged for discussion at the SAC meeting unless requested by one of the General Assessors (this can be the General Assessor from the other panel).

Prior to the Selection Advisory Committee meeting, it is important that the General Assessor(s) who are not in the Carriage 1's selection meeting ensure that the Carriage 1 has sufficient information to represent their views in the meeting.

**Note:** it is rare that General Assessors from other panels are brought into the meeting to present their views, but this can be arranged if any of the General Assessors consider it critical to ensure a fair assessment of the application.

## **General assessment process**

All General Assessors must declare any conflicts of interest (COI) and reject the assignment as soon as possible if a COI exists. This will assist the ARC with the timely re-assignment of applications (see [Section 4.1](#) for further information). If a General Assessor is unsure of whether a COI exists, they must seek advice from the ARC before proceeding with accepting an assignment by emailing [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au) as soon as possible.

When assessing applications General Assessors must rely solely on the information provided within the application including referenced publications and preprints and should not seek additional information from any sources. This includes following any hyperlinks that may have been provided in the application. The inclusion of webpage addresses/URLs and hyperlinks is only permitted under certain circumstances such as publications (including preprints) that are only available online and Letters of Support. Webpage addresses/URLs and hyperlinks should not be used to circumvent page limits, nor should they provide information that is not contained in the application. All information relevant to the application must be contained within the application.

## **Saving preliminary assessments**

Following the assignment process, General Assessors independently read and assess all of their assigned applications against the relevant assessment criteria, based on an [A to E Scoring Matrix](#) (although the matrix provides guidance on the expected averages across the entire set of applications, each application must be marked on its own merits). These preliminary assessment scores should be saved as drafts in RMS (**but not submitted**). General Assessors enter scores into RMS; they do not enter text.

In the rejoinder process, applicants receive anonymised Detailed Assessors' comments only without the commensurate scores. The applicant then has an opportunity to provide a rejoinder to address any issues raised by the Detailed Assessors.

After the rejoinder process has closed, General Assessors review the Detailed Assessors' comments and scores and the applicants' rejoinder text. Detailed assessments and rejoinders will inform General Assessors' scores and at this point General Assessors can review and if necessary, revise and save their preliminary scores. General Assessors then ensure that their draft scores are entered in RMS (**but not submitted**) before the preliminary assessment due date determined by the ARC, enabling their co-Carriages to view the scores and to facilitate discussion and ensure that all co-Carriages have an opportunity to understand the reasoning behind any differences in Carriage scores.

**Note:** If a General Assessor is provided with an extension to enter their preliminary scores due to exceptional circumstances, the ARC will facilitate alternative arrangements for co-Carriages to discuss and address discrepancies.

## Feedback to applicants

From this year, General Assessors who are Carriages need to select feedback for applications they assess. Before submitting their final scores for an application, all carriages must choose relevant feedback for each application, available from a drop-down menu in the assessment form. Options will be available for each criterion in the application. Requirements for each Scheme will vary regarding the number of feedback options that can or must be chosen. All Schemes will have a minimum of one piece of feedback for each application.

## Revising and submitting final assessments

For applications that have a difference in scores between the General Assessors, Carriage 1 is responsible for contacting the other Carriage(s) to discuss their scores. General Assessors are not required to agree on or align their scores for an application, but if the scores are disparate, they need to understand why their opinions differ to facilitate discussion at the SAC meeting. Following this discussion, final scores and ranks should be **submitted in RMS** by the required final due date.

When all final scores are submitted, RMS produces a ranked list of all applications (see [Section 2.2](#) for further information). This list is used at the SAC meeting to assist with the identification of applications that are of sufficient quality to be fundable. The ranking of applications on this list is not final and the meeting process provides several opportunities for the SAC to discuss and review all applications, as outlined below.

## Inappropriate assessments

If General Assessors are concerned about the appropriateness of any assessment text or comments that do not match scores from Detailed Assessors, or identify a potential COI or potential breach of confidentiality, including but not limited to, the use of generative Artificial Intelligence technology<sup>1</sup>, then they **must** contact the ARC by sending an email to [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au) as soon as possible. The ARC will investigate the concerns and decide whether an assessment should be amended by the Detailed Assessor or removed from the process. The latter happens only in rare circumstances and requires ARC Senior Executive approval.

If inappropriate assessments are identified early in the assessment process by the ARC or the applicant during the rejoinder stage, the ARC may ask the assessor to amend their assessment of the application or consider removal of an assessment as above.

## 2.2 Scoring and ranking assessments

### Scoring

When applying the Scoring Matrix, General Assessors should have regard for the specific grant opportunity objectives (see Appendix) and assessment criteria for the Scheme.

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<sup>1</sup> [Policy on Use of Generative Artificial Intelligence in the ARCs grants programs 2023.pdf](#)

Scoring applications against assessment criteria can be a difficult exercise when Assessors might only look at a small sub-set of applications. Bands within the Scoring Matrix ideally represent a distribution across all applications submitted to a grant opportunity.

Only the very best applications should be recommended. As a guide, approximately 10% should fall into the top scoring band ('A'). These would have been assessed as near flawless applications across all assessment criteria.

A Scoring Matrix for the scores A to E is provided in **Table 1** below and should guide scoring by both Detailed and General Assessors.

**Table 1: Example Scoring Matrix**

Score	Criteria	Recommendation
<b>A</b>	<b>Outstanding:</b> Of the highest quality and at the forefront of research in the field. Approximately 10% of applications should receive scores in this band.	<b>Recommended unconditionally</b>
<b>B</b>	<b>Excellent:</b> Of high quality and strongly competitive. Approximately 15% of applications should receive scores in this band.	<b>Strongly support recommendation of funding</b>
<b>C</b>	<b>Very Good:</b> Interesting, sound and compelling. Approximately 20% of applications should receive scores in this band.	<b>Support recommendation of funding with reservation</b>
<b>D</b>	<b>Good:</b> Sound but lacks a compelling element. Approximately 35% of applications are likely to fall into this band.	<b>Unsupportive of recommendation for funding</b>
<b>E</b>	<b>Uncompetitive:</b> Uncompetitive and has significant weaknesses. Approximately 20% of applications are likely to fall into this band.	<b>Not recommended for funding</b>

**NOTE:** This Scoring Matrix is an example only. Please see Appendix for the Scoring Matrix applicable to each individual grant opportunity.

## Ranking

Each application must have a unique rank. Although RMS will use the **overall application scores** to automatically rank an Assessor's assessments as these are completed in RMS, if multiple applications have the same **overall application scores** these applications will be flagged and an Assessor must assign a unique rank to differentiate equally scored applications. Differentiation should be based on how you compare the applications in relation to the Scoring Matrix.

**Note:** RMS will use your scores to automatically rank applications, and then use your rank order to differentiate equally scored applications.

Assessments should be submitted when all applications have been assigned 1) a score and 2) a unique ranking.

## 2.3 Important factors to consider when assessing

### Objectives and assessment criteria

Each grant opportunity has specific objectives and assessment criteria. Assessors must have regard to both the objectives and the assessment criteria as outlined in the relevant Grant Guidelines and the Appendix of this document.

To reduce duplication, the Linkage Program Application Forms have been streamlined. When a question from the assessment criteria is covered in multiple sections of the application form, it has been removed as a separate heading in the Project Description question. Sections of the forms may also have been moved.

For example, the 'Participant Details including ROPE' assessment criteria is now in Part B, with some questions remove. Some new questions have been added that only need to be answered by individuals identified as 'Key Personnel' only (questions B11 to B16). Other changes include Project Description (Part C) and 'Classifications and Other Statistical Information' (Part E). There is also change in how participants need to input data into financial tables (single entry per row except when addressing Personnel).



## National Interest Test (NIT)

Applicants must provide a separate response on the national interest of their research proposal, which is provided with other elements of an application recommended for funding for final consideration by the Minister.

The NIT statement provided by the researcher is part of their application, will be certified by the DVCR and will be available to all assessors. It should be considered as part of the assessment of the application. The National Interest Test is to be used with the rest of the information in the application to inform an assessor's assessment of the Assessment Criteria as included in the Appendix.

The ARC will accept the DVCR's certification as final and will not review or make requests for changes to a NIT. The ARC will include the NIT with the other elements of an application recommended for funding for final consideration by the Minister. Additional information regarding the National Interest Test is available on the [ARC Website](#).

## Research Opportunity and Performance Evidence (ROPE)

The ROPE assessment criterion requires all Assessors to identify and consider research excellence relative to a researcher's career and opportunities for research. It aims to ensure that NCGP assessment processes accurately evaluate a researcher's career history relative to their current career stage and consider whether their productivity and contribution is commensurate with the opportunities that have been available to them.

The required elements of ROPE vary according to the objectives of each grant opportunity. All General Assessors should be familiar with the full [ROPE statement](#) located on the ARC website.

## Interdisciplinary research

The ARC recognises the value of interdisciplinary research and the ARC's commitment to supporting interdisciplinary research is outlined in the [ARC Statement of Support for Interdisciplinary Research](#).

Interdisciplinary research can be a distinct mode of research, or a combination of researchers, knowledge and/or approaches from disparate disciplines. Under the NCGP, examples of interdisciplinary research may include researchers from different disciplines working together in a team; researchers collaborating to bring different perspectives to solve a problem; researchers utilising methods normally associated with one or more disciplines to solve problems in another discipline; and one or more researchers translating innovative blue sky or applied research outcomes from one discipline into an entirely different research discipline.

Assessors are required to assess all research on a fair and equal basis, including applications and outputs involving interdisciplinary and collaborative research. To assist with this, the ARC facilitates consideration of applications by relevant General Assessors with interdisciplinary expertise or where not feasible, applications are allocated to General Assessors who have broad disciplinary expertise regardless of discipline grouping. Interdisciplinary applications should be allocated to Detailed Assessors with specific interdisciplinary expertise or to Detailed Assessors from the different disciplines covered in the application.

## Preprints or comparable resources

General Assessors should consider the merit of publications including preprints and comparable resources that are listed in the application. Assessors may access hyperlinks and evaluate if a citation included in the application is a crucial part of the research discourse, and evaluate the suitability, quality and relevance of the research output to help them determine the quality and novelty of the proposed research. However, Assessors should not use online search engines to identify or evaluate applicants' publications that are not included within the application.

Preprints or comparable resources can be included in any part of an application. This includes within the Research Outputs list and the body of an application. An application will not be deemed to be ineligible for the citing and listing of preprints or comparable resources.

A preprint or comparable resource is a scholarly output that is uploaded by the authors to a recognised publicly accessible archive, repository, or preprint service (such as, but not limited to, arXiv, bioRxiv, medRxiv, ChemRxiv, Peer J Preprints, Zenodo, GitHub, PsyArXiv and publicly available university of government repositories etc.). This will include a range of materials that have been subjected to varying



degrees of peer review from none to light and full review. Ideally, a preprint or comparable resource should have a unique identifier or a DOI (digital object identifier). Any citation of a preprint or comparable resource should be explicitly identified as such and listed in the references with a DOI, URL or equivalent, version number and/or date of access, as applicable.

Inclusion of preprints or comparable resources within the body of the application should comply with standard disciplinary practices for the relevant field.

### **3. General Assessors: Selection Advisory Committee (SAC) meeting preparation**

#### **3.1 Roles and responsibilities before the SAC meeting**

After the assessment period has closed General Assessors will:

1. be unable to access applications for a short period whilst ARC staff undertake administrative functions to prepare for the SAC meeting.
2. be advised by the ARC when the RMS Meeting Application (App) opens.
3. have access to all applications allocated to their panel in the RMS Meeting App where they do not have a COI. **Note:** Due to the cross-disciplinary nature of some applications, General Assessors allocated to a different panel than an application they assessed will not have access to its RMS Meeting Application. As such unless a SAC member specifically requests for a cross-panel application to be discussed at the SAC meeting, this application will not be automatically tagged for discussion.
4. be required to attend a pre-meeting videoconference to be updated on the SAC meeting processes.

#### **Carriage 1: Reviewing applications in the RMS Meeting Application**

The RMS meeting application will contain a ranked list of applications. Prior to the SAC meeting, Carriage 1 should review the Detailed and General Assessors' assessments and scores, and the applicant's rejoinder, and consider whether they believe there are any applications that have received an inappropriate ranking.

Particular attention should be given to applications where a ROPE case (see [Section 2.3](#)) has been made that has been neglected by Detailed Assessors, where an application has received less than the desired number of detailed assessments, or where an anomalous Detailed assessment may materially affect the ranking of the application. Carriage 1 should identify such applications by emailing [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au) and prepare a recommendation for consideration by the SAC.

ARC staff will also identify applications with 'disparate' scores and will flag these for the attention of SAC members, noting that these applications are not automatically discussed at the selection meeting. SAC members can request these (or any other) applications to be tagged for discussion at the meeting. Carriage 1 will be expected to lead discussion on these applications.

It is recommended that SAC members read the summary of all highly-ranked applications and those tagged in RMS as 'To Discuss by SAC' (accessible through the RMS Meeting App) as they are expected to contribute to discussions for all applications during the meeting.

Note that for ITRP application rounds, all applications are to be discussed at the SAC meeting.

Prior to the meeting the ARC will also give General Assessors access to other applications that they are not conflicted with. General Assessors should also form an opinion of the merit of all other applications in addition to the applications they have been assigned as Carriages.

#### **Carriage 1: Preparing a draft budget recommendation**

For highly-ranked applications or applications tagged for discussion in RMS as 'To Discuss by SAC', it is Carriage 1's responsibility to recommend a draft one-line budget amount for each funding year of the application to the SAC. The draft budget recommendation is entered directly into RMS (details are in the section below) prior to the SAC meeting.

The draft budget recommended for each year must not exceed the amount requested in the application. Budget recommendations are discussed by the SAC members and the recommended budget is forwarded to the ARC CEO as part of the SAC's funding recommendations.

Carriage 1 may need to discuss or justify their budget recommendation at the SAC meeting and should therefore bring their own notes to the meeting on how they arrived at their final recommended funding amount.

To prepare a one-line budget for each year of funding, Carriage 1 should consider the following:

1. The extent to which specific budget items are well-justified
2. Whether the budget items are supported or not supported as outlined in the Grant Guidelines for the relevant grant opportunity
3. The minimum/maximum funding amounts relevant to the specific grant opportunity's Grant Guidelines
4. The costs of any recommended remunerated participants
5. Whether they are satisfied that the project can still be completed with the recommended budget
6. Whether the budget for the application has been considered on merit and at this stage not compared to other applications

### Carriage 1: Entering draft budgets in RMS Meeting Application before the Selection Meeting

Following the ARC email confirming that RMS Meeting Application is opened, Carriage 1 can enter the draft budgets directly in RMS.

1. Prepare draft budgets for your Carriage 1 applications that are highly-ranked or tagged as 'To Discuss by SAC'.
2. Prepare a draft budget figure (\$) for each year of funding of your Carriage 1 applications.
3. In RMS, open specific scheme Meeting Application, e.g., DE22.

Meetings ^		
Scheme Round	Panel	Actions
DE22 Round 1		Open

4. Under 'Carriage' select and filter the Carriage 1 applications and select 'Apply'.

Application Id

Grant Status

Awards

All applications

Discipline Groups

Carriage

Carriage 1 Applications

5. Click on the application to enter the draft budget:
  - a) Before you populate budget click on the hyperlink for the Fellowship under 'Personnel'.

Personnel	\$134,300	\$0	\$134,300	\$0	\$134,300	\$0
(Discovery Early Career Researcher Award)	\$106,194	\$0	\$106,194	\$0	\$106,194	\$0

- The pop-up window will appear. You must only alter the status on 'Carriage 1 Award Support' to 'Supported/Not supported' the salary for funding. You cannot change the 'Supported Funding as' level.

- If you selected 'Supported' the Fellowship/Award salary (\$) will be automatically populated into the budget table. Note this may not occur for all Schemes.

**Draft Budget**

Save Draft

**Editing Instructions:**  
Before entering a total budget please address the requested award(s)/fellowship(s) by clicking on the hyperlinked name of the requested awardee or fellowship and select either 'Supported' or 'Not Supported'. Please then update for a total draft budget in the Funded field in the Total line (the top line of the budget) for each applicable year. Only enter in whole dollars to total field per year. Note: A red box will appear if you enter more than the requested amount. A blue box will appear if you enter less than the minimum amount of funding required.

Supported \$778,160 / \$1,015,488 (76%) Requested

Description	Year 1		Year 2		Year 3		Year 4	
	Requested	Funded	Requested	Funded	Requested	Funded	Requested	Funded
Total	\$253,575	\$194,540	\$252,837	\$194,540	\$254,538	\$194,540	\$254,538	\$194,540
Personnel	\$241,934	\$194,540	\$243,637	\$194,540	\$245,338	\$194,540	\$245,338	\$194,540

The salary will now populate in the funded cells.

b) Enter the draft budget total for each year, then select 'Save Draft'.

**Draft Budget**

Save Draft

**Editing Instructions:**  
Please enter your draft budget in the Funded field in the Total line (the top line of the budget) for each applicable year. Only enter in whole dollars to total field per year. Note: A red box will appear if you enter more than the requested amount. A blue box will appear if you enter less than the minimum amount of funding required.

Supported \$0 / \$359,997 (0%) Requested

Description	Year 1		Year 2		Year 3		Year 4		Year 5	
	Requested	Funded	Requested	Funded	Requested	Funded	Requested	Funded	Requested	Funded
Total	\$118,306	\$0	\$117,846	\$0	\$123,845	\$0	\$0	\$0	\$0	\$0
Personnel	\$96,681	\$0	\$98,581	\$0	\$100,510	\$0	\$0	\$0	\$0	\$0

Enter a total figure for each year in the top line of the budget table, then select 'Save Draft' at the top left of the budget table.

**Note:**

**Draft Budget**

Save Draft

**Editing Instructions:**  
Please enter your draft budget in the Funded field in the Total line (the top line of the budget) for each applicable year. Only enter in whole dollars to total field per year. Note: A red box will appear if you enter more than the requested amount. A blue box will appear if you enter less than the minimum amount of funding required.

Supported \$274,000 / \$359,997 (76%) Requested

Description	Year 1		Year 2		Year 3	
	Requested	Funded	Requested	Funded	Requested	Funded
Total	\$118,306	\$100,000	\$117,846	\$125,000	\$123,845	
Unspecified Funding	\$0	\$100,000	\$0	\$125,000	\$0	

Pink highlighting indicates unsaved changes.

A red box indicates you have entered more than the requested amount, you will need to reduce your draft total for this year.

## 3.2 Roles and responsibilities at the SAC meeting and information on the Selection Meeting

Each SAC meeting will comprise a Chair, Deputy Chair, SAC members (Carriage 1, Other Carriages and panel members) and ARC Staff. SAC meetings may also be divided into discipline panels, depending on the grant opportunity.

The role of the Chair is to:

1. lead the committee through the process to make a recommendation on the applications
2. call the panel to a vote for applications or where there is dissent and
3. ensure the meeting runs in a timely manner.

For applications where the Chair is conflicted and out of the room or is Carriage on an application, the Deputy Chair will act in the role. Where multiple conflicts arise, other SAC members may be called on to be acting Chair.

When you are Carriage 1 on an application, your role is to:

1. lead discussion for that application giving a brief summary of the strengths and weaknesses, and then making a recommendation to support, not support or vote
2. vote on applications when called by the Chair
3. recommend a one-line budget for applications that are recommended for funding (the draft budget should already be entered in RMS).

All other Carriages and panel members will:

1. contribute to discussions of whether an application should be supported, not supported or voted on
2. vote on applications when called to do so by the Chair

ARC staff are responsible for:

1. providing secretariat support for meetings
2. providing procedural advice to the SAC
3. ensuring that correct administrative procedures are followed
4. ensuring COIs and any potential inappropriate discussions are managed correctly

**Note:** At the SAC meeting, applications assigned to Carriages sitting on different discipline panels are only discussed in the application's home discipline panel, Carriage(s) in other panels should ensure Carriage 1 is aware of and able to represent their position on the application. Please contact the ARC if you have any questions about this.

## 4. Ensuring integrity of process

### 4.1 Confidentiality and Conflict of Interest (COI)

The [ARC Conflict of Interest and Confidentiality Policy](#) is designed to ensure that all COIs are managed in a rigorous and transparent way. It aims to prevent individuals from influencing decisions unfairly and to maintain public confidence in the integrity, legitimacy, impartiality and fairness of the peer review process.

Any individual who is reviewing material for the ARC must agree to comply with the confidentiality and COI statement and must clearly disclose any material personal interests that may affect, or might be perceived to affect, their ability to perform their role.

All Assessors must maintain an up-to-date RMS profile, including personal details, current employment details and previous employment history within the past 2 years. This information will assist the ARC with the identification and management of organisational conflicts of interest.

Assessors reviewing ARC grant application who have identified a conflict of interest must reject the grant application assigned in RMS to assist the ARC in the management of conflicts of interest.

Examples of material personal interests that are considered by the ARC to be COIs include holding funding with a named participant within the past 2 years or having been a collaborator or co-author with a named participant on a research output within the last 4 years. For more information on disclosure of COIs, including material personal interest declarations, please refer to the [Identifying and Handling a Conflict of Interest in NCGP processes](#) document.

**Note:** In RMS, Assessors will be asked to indicate their willingness to comply with this policy before proceeding to assess. They can do this by selecting the 'Accept' button.

**Extract from the ARC [Policy on Use of Generative Artificial Intelligence in the ARC's grants programs](#) (July 2023):**

The [ARC Conflict of Interest and Confidentiality Policy \(2020\)](#) requires that all officials and individuals carrying out ARC business, including assessors and peer reviewers, are required to preserve the principles of confidentiality outlined in the policy. **Release of material into generative AI tools constitutes a breach of confidentiality and peer reviewers, including all Detailed and General Assessors, must not use generative AI as part of their assessment activities.**

Assessors are asked to provide detailed high quality, constructive assessments that assist the Selection Advisory Committees to assess the merits of an application. The use of generative AI may compromise the integrity of the ARC's peer review process by, for example, producing text that contains inappropriate content, such as generic comments and restatements of the application.

## **4.2 Research integrity and research misconduct**

If in the course of undertaking an assessment you identify or suspect a potential research integrity breach or research misconduct, please notify the ARC Research Integrity Office ([researchintegrity@arc.gov.au](mailto:researchintegrity@arc.gov.au)) in accordance with Section 5 of the [ARC Research Integrity Policy](#). Please do not mention your concerns in any assessment comments.

The ARC Research Integrity Office will consider whether to refer your concerns to the relevant institution for investigation in accordance with the requirements of the [Australian Code for the Responsible Conduct of Research \(2018\)](#). You should provide sufficient information to allow the ARC to assess whether there is a basis for referring the matter to the institution and to enable the relevant institution to progress an investigation into the allegation (if required).

Foreign financial support, foreign affiliations and foreign honorary positions. Participants applying for ARC grants are required to answer questions in their application relating to foreign financial support and foreign affiliations, including current and previous associations. Participants are required to declare:

- foreign financial support (cash or in kind) for research related activities
- current or past associations or affiliations with a foreign sponsored talent program (for the last 10 years)
- current associations or affiliations with a foreign government, foreign political party, foreign state-owned enterprise, foreign military and/or foreign police organisations

If in the course of undertaking an assessment you identify or suspect a potential issue of foreign interference, please send an email highlighting your concerns to the ARC via [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au) as soon as possible.

**Note:** In RMS, Assessors will be asked to indicate their willingness to comply with this policy before proceeding to assess. They can do this by selecting the 'Accept' button.

## **4.3 Applications outside the General Assessor's area of expertise**

The ARC receives applications from many scholarly fields. Occasionally you will be asked to assess an application that does not appear to correspond closely with your area of expertise. As a General Assessor, your views are valuable as they are being sought on the entire application, drawing on your expert knowledge as a researcher. If you are concerned about a particular application's research area and your ability to provide a robust assessment, **please contact the ARC via [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au) before rejecting the assignment.**

## **4.4 Eligibility**

If, while assessing an application, you have concerns about eligibility, ethics or other issues associated with an application, **you must not include this information in your assessment.** Please send an email highlighting your concerns to **the relevant scheme team via [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au)** as soon as possible. The ARC is responsible for investigating and making decisions on these matters, and Assessors should not conduct investigations at any point. Please complete your assessment based on the merits of the application **without** giving consideration to the potential eligibility issue.



RMS has functionality to populate research outputs into applications from within a researcher's RMS profile. Researchers will have the flexibility to choose and add which outputs to include in the application. The ARC is aware of some research output display errors that are system issues and cannot be corrected by RMS users. Any applications that are affected will not be deemed to breach eligibility requirements and Assessors should disregard research output display errors in their assessment of applications. Examples of possible research output display errors include symbols, foreign language characters and subscript/superscript that does not render correctly.

#### 4.5 Unconscious bias

General Assessors should also be aware of how their unconscious bias could affect the peer review process.

Unconscious biases are pervasive and may relate to perceptions about a range of attributes including:

1. gender and/or sexuality
2. social/cultural background
3. career path
4. institutional employer
5. discipline

The ARC encourages Assessors to recognise their own biases and be aware of them in their assessments. A selection of short, online tests for identifying unconscious biases is available via Harvard University's [‘Implicit Social Attitudes’ demonstration sites](#).

### 5. Contact details for queries during the assessment process

For **all** assignment and assessment, as well as accessibility enquiries, please email [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au)

For all questions relating to the SAC and SAC meetings, contact [ARC-College@arc.gov.au](mailto:ARC-College@arc.gov.au).

### Appendix: ITRP Program Scoring Matrix and assessment criteria considerations

**Please note:** Assessors assign a score and do not have to consider the weighting of a criterion as this is applied automatically within RMS. The tables below provide ready access to assessment criteria set out in the *ITRP Program Grant Guidelines (2023 edition)* (available on [GrantConnect](#)) and the Scoring Matrixes outlined in this handbook. Assessors should use their judgement and experience to assess the appropriate score within the context of the relevant discipline.

#### ITRP Research Hubs (IH24)

##### Key Dates and Notes

Task	IH24 Dates	Detail
<b>Assessment Period</b>	6 December 2023 – 15 March 2024	<b>Carriages 1, 2, 3</b> Assess applications independently to determine preliminary and provisional scores and ranking.
<b>Rejoinder</b>	28 February 2024 – 13 March 2024	Applicants to read comments from Detailed Assessors and submit a rejoinder.
<b>Review and finalise assessments</b>	6 December 2023 – 15 March 2024	<b>Carriages 1, 2, 3</b> Review Detailed assessments and rejoinders. Revise and finalise scores and ranks in RMS. All carriages need to provide their feedback to each application.
<b>SAC Selection Meeting</b>	29 April 2024 – 30 April 2024	SAC members discuss shortlist and recommend applications

#### Grant Guidelines

The objectives and assessment criteria below are from the *ITRP Grant Guidelines - (2023 edition)* which are available on [GrantConnect](#).

## Overview

Research Hubs engage Australia's best researchers to develop collaborative solutions to the Industrial Transformation Priorities. The focus is on the creation of industry and academic partnerships working together on research and development projects to create innovative and transformative solutions for industry.

## Objectives

The **Research Hubs scheme** objectives are to:

- a) support collaborative research projects between universities and organisations outside the Australian higher education sector that involve cutting-edge research on new technologies; and
- b) leverage national and international investment in targeted industry sectors, including from industry and other research end-users.

The intended outcomes of the Research Hubs scheme are:

- a) growth, productivity and competitiveness within the Industrial Transformation Priorities; and
- b) economic, commercial and social transformation.

## Scoring Matrix – ITRP (Research Hubs)

Assessment criterion	(A) <b>Outstanding</b> Of the highest quality and at the forefront of research in the field. Recommended unconditionally.	(B) <b>Excellent</b> Of high quality and strongly competitive. Strongly support recommendation.	(C) <b>Very Good</b> Interesting, sound and compelling. Support recommending without reservation.	(D) <b>Good</b> Sound, but lacks a compelling element. Unsupportive of recommendation.	(E) <b>Uncompetitive</b> Has significant weaknesses. Not recommended.
	Approximately 10% of Applications should receive scores in this band.	Approximately 15% of Applications should receive scores in this band.	Approximately 20% of Applications should receive scores in this band.	Approximately 35% of Applications are likely to fall into this band.	Approximately 20% of Applications are likely to fall into this band.



## Assessment criteria - ITRP (Research Hubs)

Assessment criteria and weightings	Assessment criteria details
Investigator/ Capability 20%	<p>Describe the:</p> <ul style="list-style-type: none"> <li>– demonstrated Research Opportunity and Performance Evidence (ROPE) of the proposed team including: <ul style="list-style-type: none"> <li>– evidence of experience in managing distributed and/or collaborative industrial and end-user focussed research;</li> <li>– evidence of significant outcomes on industry related projects; and</li> <li>– evidence of experience in and capacity to provide effective supervision, support and mentoring for HDR candidates and postdoctoral researchers over the life of the Research Hub.</li> </ul> </li> <li>– appropriateness of the team research track record to achieve the Research Hub's goals; and</li> <li>– time and capacity of the team to undertake and manage the proposed research in collaboration with the Partner Organisation(s).</li> </ul>
Project quality and innovation: 30%	<p>Describe the extent to which the:</p> <ul style="list-style-type: none"> <li>– aims, concepts, methods and outcomes will drive growth, productivity and competitiveness within relevant sectors;</li> <li>– conceptual/theoretical framework is genuinely integrated, cross-disciplinary, innovative and original; and</li> <li>– project draws together high quality innovative national and international partnership(s) into an integrated Research Hub.</li> </ul>
Feasibility and Commitment 20%	<p>Describe the:</p> <ul style="list-style-type: none"> <li>– extent to which the Research Hub represents value for money;</li> <li>– appropriateness of the design of the Research Hub and the expertise of the participants to ensure the project can be completed within the proposed budget and timeframe (including identified risks and mitigation strategies);</li> <li>– proposed level of collaboration to support the research project, including national and international networks and linkages;</li> <li>– high-quality intellectual support provided for the Research Hub by the research environment of the participating organisations;</li> <li>– availability of and access to the necessary facilities required to support the proposed research (physical, technical, access to infrastructure, etc);</li> <li>– commitment by each Partner Organisation(s) to collaboration in the Research Hub;</li> <li>– adequacy of the budget, including cash and in-kind Contributions pledged by participating organisations; and</li> <li>– extent to which the proposed Research Hub engages, and will continue to engage, meaningfully with the relevant industry experts.</li> </ul>

	<p><u>If the project involves Aboriginal and/or Torres Strait Islander research, additional criteria include:</u></p> <ul style="list-style-type: none"> <li>– The project’s level of collaboration, engagement, relationship building and benefit sharing with Aboriginal and Torres Strait Islander Peoples, and First Nations Organisations and Communities;</li> <li>– The project’s strategy and mechanisms for Indigenous research capacity building within the project;</li> <li>– The project’s level of internal leadership of Indigenous research;</li> <li>– The project’s adherence to the Australian Indigenous Data Sovereignty Principles; and</li> <li>– The project’s understanding of, and proposed strategies to adhere to, the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research and NHMRC’s guidelines on Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities.</li> </ul>
Benefits: 30%	<p>Describe:</p> <ul style="list-style-type: none"> <li>– the extent to which the research clearly addresses one or more of the Industrial Transformation Priorities;</li> <li>– the economic, commercial, environmental, social and/or cultural benefits for relevant Australian research end-users (including relevant industry and manufacturing sectors);</li> <li>– the extent to which the proposed Research Hub supports clearly identified market opportunity(ies) and intended transformation for Australian industry or other end users;</li> <li>– the extent to which the proposed Research Hub will build research capacity in the Partner Organisation(s);</li> <li>– the extent to which there are adequate strategies to encourage dissemination, promotion, and the commercialisation of research outcomes;</li> <li>– the potential contribution of the proposed research to addressing the needs of industries and communities as articulated in Australia’s Industrial Transformation Priorities; and</li> <li>– where relevant, the extent to which the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to industry.</li> </ul>

## Training Centres (IC24)

### Key Dates and Notes

Task	IC24 Dates	Detail
<b>Assignment Period</b>	6 December 2023 – 15 March 2024	<b>Carriages 1, 2, 3</b> Assess applications independently to determine preliminary and provisional scores and ranking.
<b>Rejoinder</b>	28 February 2024 – 13 March 2024	Applicants to read comments from Detailed Assessors and submit a rejoinder.

<b>Review and finalise assessments</b>	6 December 2023 – 15 March 2024	<b>Carriages 1, 2,3</b> Review Detailed assessments and rejoinders. Revise and finalise scores and ranks in RMS. All carriages need to provide their feedback to each application.
<b>SAC Selection Meeting</b>	29 April 2024 – 30 April 2024	SAC members discuss shortlist and recommend applications

## Grant Guidelines

The objectives and assessment criteria below are from the *ITRP Grant Guidelines - (2023 edition)* which are available on [GrantConnect](#).

## Overview

Training Centres foster close partnerships between university-based researchers and industry, through creating and delivering innovative Higher Degree by Research (HDR) and postdoctoral training. Training Centres are to develop researchers with capability in end user research that is vital to Australia's future. In delivering this training, the Training Centre focuses its researchers on developing solutions relevant to the Industrial Transformation Priorities.

## Objectives

The **Training Centres** scheme objectives are to:

- support HDR candidates and postdoctoral researchers to undertake industrial training;
- support research collaboration between universities and organisations outside the Australian higher education sector; and
- strengthen the capabilities of industry and research end-users in identified Industrial Transformation Priority areas.

The intended outcome of the Training Centres scheme are:

- growth, productivity and competitiveness within Industrial Transformation Priorities; and
- economic, commercial and social transformation.

## Scoring Matrix – Training Centres (IC)

Assessment criterion	(A) <b>Outstanding</b> Of the highest quality and at the forefront of research in the field. Recommended unconditionally.	(B) <b>Excellent</b> Of high quality and strongly competitive. Strongly support recommendation	(C) <b>Very Good</b> Interesting, sound and compelling. Support recommending without reservation.	(D) <b>Good</b> Sound, but lacks a compelling element. Unsupportive of recommendation	(E) <b>Uncompetitive</b> Has significant weaknesses. Not recommended.
	Approximately 10% of Applications should receive scores in this band.	Approximately 15% of Applications should receive scores in this band.	Approximately 20% of Applications should receive scores in this band.	Approximately 35% of Applications are likely to fall into this band.	Approximately 20% of Applications are likely to fall into this band.

## Assessment criteria

Assessment criteria and weightings	Assessment criteria details
Investigator/ Capability 20%	<p>Describe the</p> <ul style="list-style-type: none"> <li>– demonstrated Research Opportunity and Performance Evidence (ROPE) of the proposed team including: <ul style="list-style-type: none"> <li>– Evidence of experience in managing distributed and/or collaborative industrial and end-user focussed research;</li> <li>– Evidence of significant outcomes on industry related projects;</li> <li>– Evidence of experience in and capacity to provide effective supervision, support and mentoring for HDR candidates and postdoctoral researchers over the life of the Training Centre;</li> </ul> </li> <li>– appropriateness of team research track record to achieve the Training Centre's goals; and</li> <li>– time and capacity of the team to undertake and manage the proposed research in collaboration with the Partner Organisation(s).</li> </ul>
Project quality and innovation 30%	<p>Describe the:</p> <ul style="list-style-type: none"> <li>– the aims, concepts, methods and outcomes will drive growth, productivity and competitiveness within relevant sectors;</li> <li>– the project builds skills and capacity in end-user focussed research;</li> <li>– the conceptual/theoretical framework is genuinely integrated, cross-disciplinary, innovative and original; and</li> <li>– how the Training Centre has a wide level of collaboration, including the development of national and international networks and linkages.</li> </ul>
Feasibility and Commitment 20%	<p>Describe the potential benefits including the:</p> <ul style="list-style-type: none"> <li>– extent to which the proposed Training Centre represents value for money;</li> <li>– practicality of the proposed project objectives, budget and timeframe (including identified risks and mitigation strategies);</li> <li>– proposed level of collaboration to support the research project;</li> <li>– high quality intellectual support provided for the Training Centre by the research environment of the participating organisations;</li> <li>– availability of and access to necessary facilities required to support the proposed research (physical, technical, access to infrastructure, etc);</li> <li>– capacity of each Partner Organisation(s) to support the Training Centre (including the plan for student placements);</li> <li>– extent to which the proposed Training Centre will engage, and will continue to engage, meaningfully with the relevant industry experts;</li> </ul>

Assessment criteria and weightings	Assessment criteria details
	<ul style="list-style-type: none"> <li>– commitment by each Partner Organisation(s) to collaboration in the Training Centre; and</li> <li>– Partner Organisation(s) facilities and personnel contribution to the effective supervision, on-site training, support and mentoring for the HDR candidates and postdoctoral researchers over the life of the project.</li> </ul> <p><u>If the project involves Aboriginal and/or Torres Strait Islander research, additional criteria include:</u></p> <ul style="list-style-type: none"> <li>– The project's level of collaboration, engagement, relationship building and benefit sharing with Aboriginal and Torres Strait Islander Peoples, and First Nations Organisations and Communities;</li> <li>– The project's strategy and mechanisms for Indigenous research capacity building within the project;</li> <li>– The project's level of internal leadership of Indigenous research;</li> <li>– The project's adherence to <u>the Australian Indigenous Data Sovereignty Principles</u>; and</li> <li>– The project's understanding of, and proposed strategies to adhere to, the <u>AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research</u> and <u>NHMRC's guidelines on Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities</u>.</li> </ul>
Benefit 30%	<p>Describe:</p> <ul style="list-style-type: none"> <li>– the extent to which the research clearly addresses one or more of the Industrial Transformation Priorities;</li> <li>– the economic, commercial, environmental, social and/or cultural benefits for relevant Australian research end-users (including relevant industry and manufacturing sectors);</li> <li>– the extent to which the proposed Training Centre supports clearly identified market opportunity(ies) and intended transformation for Australian industry or other end users;</li> <li>– the extent to which the proposed Training Centre will build the ability to exploit research outcomes in the Partner Organisations;</li> <li>– the extent to which there are adequate strategies to encourage disseminations and promotion of research outcomes;</li> <li>– the potential contribution of the proposed research to addressing the needs of industries and communities as articulated in Australia's Industrial Transformation Priorities; and</li> <li>– where relevant, the extent to which the applicants have identified the freedom to operate in the Intellectual Property and patent landscape to enable future benefits to industry.</li> </ul>