



Australian Government
Australian Research Council



Establishment Toolkit

Industrial Transformation Research Program

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ESTABLISHMENT TOOLKIT

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1. Purpose and Definitions:

This toolkit supplements the Grant Agreement and Guidelines to assist you in the establishment and ongoing management of your ARC Hub or Training Centre grant.

DEFINITIONS

See Grant Agreement

The **Establishment period** means the period before all written agreements with Participating Organisations are executed (*please also see [Establishment Funds](#) in this document*).

The **Project Start Date** is the date on which the project commences research and ARC Grant expenditure. This cannot occur until all Participating Organisation Agreements have been executed.

The **Project End Date** means the date when the ARC funded project activity is completed, and all ARC Grant Funds are fully spent.

2. Responsible Conduct of Research and Research Ethics

See Grant Agreement A2.1.2

The ARC requires compliance with a number of policies, codes, and principles relating to the conduct of research. This includes clearance of research ethics and relevant safety protocols by appropriate Institutional committees. These clearances as outlined must be obtained prior to the commencement of the research activities.

Consider flexibility, should changes to the project scope be necessary.

Carefully consider any other statutory or regulatory requirements relevant to the grant and ensure these are communicated to Participating Organisations.

Please refer to the Grant Agreement for specific requirements.



3. Establishment and Commencement Timeline

After the ARC announcement you will need to work with your Research Office to enable them to accept the grant offer and Agreement in RMS.

This timeline maps the ARC milestones to 12 months after your [Project Start Date](#)

	Establishment (Before Project Start Date)			Commencement (after Project Start Date)			
	within 30 days after offer	Approx 1-6 months	Approx 6- 12 months	Deadline to start 31/07/2024	Within 6 months	31st March 2024	Within 12 months
Announcement							
Accept Grant Offer							
Accept Grant Agreement							
Submit Transition Plan (if applicable)		within 3 months of offer					
Request Establishment Funding							
Planning and Negotiation							
Participating Agreements Executed							
Commencement/ Project Start							
KPI Targets submitted to ARC for approval							
Plans in place (see Grant Agreement)							
Establishment Report							
End of Year Report							
Launch							

Figure 1 ITRP Commencement Timeline

4. Before You Begin

Use your establishment period to plan ahead.

STRATEGIC PLANNING

Hold a strategic planning workshop with the team within the first few months of establishment. Include as many participants as possible, noting you can use the [establishment funds](#) to support this activity. When everyone has buy-in to the vision, engagement will remain high.

See also [Governance](#)

See also [Strategic and Operational Plans](#)

Some topics/ questions for this meeting might include:

- Development of [Strategic and Operational Plans](#) per the Grant Agreement
- [Revisit the budget if necessary](#)
 - framework for use of strategic funds
- Development of a framework for implementing operational requirements
 - Development of operational procedures
- Think about your legacy:
 - What are your impact pathways.
 - How will you track evidence of impact from the beginning?
 - What tools will you use to collect impact evidence across the ARC Hub or Training Centre
 - See also [Translation Plan](#)
- Define [Roles and Responsibilities](#)
- How will you collaborate?
- Processes for reporting and variations to funding agreement.
 - Detailed project plans with partners
 - Developing KPIs
- Preparation for recruitment - what are the challenges? What is your risk mitigation strategy?
- Development of a Prospectus for Partners

TIP: Invite the ARC to present key messaging about ARC expectations to CIs.

BUILD AND USE YOUR NETWORKS

- Previous and current Directors and Business Managers/ Chief Operating Officer (COOs) have a wealth of experience to share. The ARC publishes previously funded Projects on the website, or the ARC major investments team can facilitate an introduction.
- COOs and Business Managers have established state based and national groups which provide a peer network and best practice. The ARC Major Investments team can put new COOs and Business Managers in touch with these groups.
- Your DVCR can be a great advocate and can also assist with problems. Keep them involved and aware of barriers you might be facing.
- Connect with your Research Office regularly – they can assist you with queries and are in regular contact with the ARC team.

PROFESSIONAL DEVELOPMENT

- Consider your own professional development as a Director. Do you have/ need a coach or a mentor?
- In addition to providing training and development for your early career researchers and students, consider the professional development of your COOs and Business Managers.
- What is your succession plan for leadership?



MANAGE EXPECTATIONS

- It will take some time to get set up. Manage expectations of your Partners and other members.
- Be transparent and get early buy in from members on your vision, policies, and processes.
- Be strategic about onboarding [new Partners](#) – have a plan and purpose in place.
- Plan and consider documenting how you agree to make decisions, for example financial expenditure, succession planning, conflicts of interest, cross node supervision and other governance issues.
- Think about how you will communicate and collaborate.

5. Administering Organisation – Establishment support

Support from key University administration areas is essential during the establishment period of an ARC Hub or Training Centre, and for ongoing management.

Your Research Office is your primary contact point for management of the ARC Grant Agreement and the ARC encourages a high degree of flexibility.

The ARC encourages adoption of an administrative taskforce to assist you with navigating complex operational processes, policy, and legal negotiation with all Participants. For example, this taskforce could include representatives from:

- Research Office
- Human Resources
- Finance
- Communications
- Information and Communications Technology
- Legal office
- Commercialisation and IP/Business Development

Some Universities have taskforce structures already in place, or you could negotiate setting up a temporary one. An Administrative taskforce can support establishment by providing guidance on:

- recruitment and appointments arrangements for new personnel (for the Administering Organisation and other participating organisations)
- grant budget set up and management and clear financial delegation/s.
- setting up reporting requirements both to the ARC and with Centre participating organisations
- development of corporate identity and branding of the Major Investment
- establishing relevant key administration contacts for ongoing support
- assistance with legal agreements and negotiations with the Participating Organisations
- setting up best practice governance processes for Major Investments

TIP: Document the operational guidance to create reference material over the life of the Centre. This may assist to retain consistency in the event of staff changes over time.

6. Funding

For more information regarding ARC payments, please visit the ‘Grant Payments’ page on the [ARC website](#).

ESTABLISHMENT FUNDS

ARC Grant Agreement B2.2.



Notwithstanding the execution requirements associated with Participating Organisations, You may expend up to \$100,000 from Grant Funds in the first year of the Grant Period before all Participating Organisation Agreements are executed.

Allowable establishment expenses are specified in the ARC Grant Agreement.

Request to access the establishment funds.

- A breakdown of proposed expenditure and rationale (no more than one-page – see below example)
- Research Office email to ARC-Postaward@arc.gov.au for ARC delegate approval.

In the unlikely event that the grant does not commence and ceases, establishment funds will not be recovered by the ARC.

The Administering Organisation holds the risk for incurring any other costs above and beyond the establishment funds before the grant has officially commenced.

Access to the remaining project funds for eligible budget items will only be available once the Grant has officially commenced (following the execution of agreements with Participating Organisations).

Noting the early commencement of the COO or Business Manager and other support staff, please ensure that you phase your budget so there is salary support for the COO or Business Manager through to the end of the Grant.

Example of an establishment fund request:		
Request for Total \$X of ARC establishment funding to support the following activities:		
Personnel	Salary for the senior administrative personnel (e.g. Business Manager – HEW level 8 or 9) Recruitment costs including advertising to be employed by the Administering Organisation to directly assist in establishment activities	\$X
Personnel	Support widespread recruitment campaign	\$X
Outreach Activities	Website, branding and promotional material, set up social media accounts and protocols and develop dissemination strategies	\$X
Travel	Initial meeting/ retreat to discuss and establish governance framework and guidelines, research project plans and confirm processes for reporting requirements and KPIs incl Air fares and taxis (\$X each), accommodation (\$X each), venue hire and expenses \$X	\$X
Travel	Workshops/ meetings/ visits to Participating Orgs to discuss facilities, research programs, student supervision etc	\$X
TOTAL		\$X

INDEXATION

For Research Hubs and Training Centres, indexation is applied from Year 2 of ARC funding onwards.

The indexation applied to ARC grant payments is intended to cover the increase in salary and other costs from year to year following the grant being awarded. The indexation factors for each year can be found on the ARC website.

Indexation funds can be used flexibly, for example some funding could be used to top up strategic funds.



For Training Centres, a large proportion of the grant supports salaried positions of ICHDR and ICPDs and the indexation applied needs to flow through to those positions. Indexation that has been applied to the project costs may provide some flexibility to be used towards strategic funds.

For Research Hubs, there have been cases where a smaller portion of the indexation is sent to the nodes and the remaining funds are kept centrally for strategic funds, or all the indexation funds are kept centrally, and the Administering Organisation covers the cost of increased salaries at their relative node.

All scenarios should be agreed to between all parties.

See also [Strategic Funds](#)

7. Transitioning Arrangements

If You have been awarded a new Research Hub or Training Centre Grant which is transitioning from a previously awarded ITRP Grant Opportunity, the ARC requires the newly awarded grant to submit a transition statement for consideration. The transition statement must provide an explanation of how the transition will be managed, including any duplication or overlaps.

Please contact the Major Investments Team for a copy of the Transition Statement Template at ARC-Postaward@arc.gov.au

The transition statement must be provided to the ARC-Postaward@arc.gov.au **within three months** of the new Grant Offer being executed by the ARC.

See Grant Agreement B2.5. To allow consideration by the ARC, the transition statement must include:

- a **comparative evaluation** of the two Research Hubs' or Training Centres' research plans, including an explanation of any duplication or overlap (if any) and how the transition will be managed, including consideration of:
 - How will stakeholders be managed?
 - How will knowledge transfer be managed?
 - Will there be adequate resourcing to complete any outstanding projects?
 - Will there be adequate resourcing to complete the Final Report?
 - Consider the staging of winding down of projects – what are the remaining projects and what is the time frame required to complete them.
- an assessment of the **time commitment** of personnel common to the two Research Hubs or Training Centres, and whether they have adequate capacity to undertake work across both investments to adequately conclude one and satisfactorily commence the other.
- a **list of postgraduates and postdoctoral researchers** and the remaining period of their participation in the previous Research Hub or Training Centre (completion of thesis or expiration of contract). How will students be managed to completion?
- a detailed **wind-down financial statement** listing committed and expected expenditure of the previous Research Hub's or Training Centre's allocation, including support for postgraduates and postdoctoral researchers.



- statement on leadership arrangements. If the Research Hubs or Training Centres have a period of overlap, have a clear understanding that a researcher can only be **Director on one Research Hub or Training Centre at a time**. In cases where the current Centre Director is also the future Centre Director, interim arrangements for a replacement Director should be outlined for the Research Hub or Training Centre which is winding down.

IMPORTANT: If the transition statement is unsatisfactory in outlining the transition arrangements, or if there is potential overlap of funding, and these matters are not addressed, the ARC may recover funds from either the new and/or old Major Investment.

Examples of transitioning arrangements for Major Investments

There are three general options for transition:

Example 1:

Allow the existing grant to conclude and then commence the new grant. Approval may be required from the ARC to delay the start of the new grant.

Example 2:

The existing grant continues with an acting Director while the new grant commences with the original Director. This arrangement must carefully describe the movement of all personnel from the old to the new, where relevant. You must seek approval from the ARC to appoint an acting Director to manage the existing grant.

Example 3:

Seek approval from the ARC to conclude the existing grant early (with or without a partial relinquishment of funds) and then commence the new grant.

8. Participating Organisation Agreements

ARC Grant Agreement A2.2.4 Participating Organisation Agreements

Negotiating and executing agreements with Participating Organisations requires significant coordinated effort and good engagement with parties on expected outcomes.

INCLUSIONS IN PARTICIPATING ORGANISATION AGREEMENTS

All Participating Organisation Agreements must have specific inclusions under the ARC Grant Agreement. Please see ARC Grant Agreement A2.2.4 for details of these inclusions.

Of particular importance is specifying roles and responsibilities, and clear guidance in Conflicts of Interest management arrangements. This should include the identification and ongoing management of current relationships within the Centre and how potential future conflicts will be identified and managed.

FORMAT OF PARTICIPATING ORGANISATION AGREEMENTS

Building on the initial discussions and draft agreements developed during the application phase, you may choose a format for Participating Organisation Agreements that is fit for purpose for the grant.

This may be a single agreement with multiple organisations or a single agreement per institution.



Negotiating Agreements with some overseas based Organisations can be particularly challenging and time consuming. You may also consider a simplified agreement in certain circumstances (for example if the organisation is making a smaller relative contribution).

Please consult with your taskforce team to decide which option is best for your purposes.

- Set clear expectations of all parties (key personnel and organisations) prior to negotiating the agreement/s.
- Use term sheets outlining high level requirements or use a Memorandum of Understanding (MOU) to outline roles, responsibilities, and expectations on participation.
- Workshop Participating Organisation Agreement/s by running it through a variety of tests using hypothetical risk-based scenarios, particularly around IP ownership and other potential areas of dispute.
- Develop an abridged version of the agreement which explains in clear language “what this means for me”. This can be useful for organisations with limited experience in ARC grants.
- Use consistent plain language in the agreements with all Participating Organisations to enable a shared understanding.

TIP: Feedback from current Investments indicates that separate Participating Organisation agreements with consistent shared clauses can be more effective for long term grant management. If you do choose to have a header agreement, consider keeping the agreement content high level and minimise detailed project level information.

MANAGING DELAYS TO EXECUTION OF PARTICIPATING ORGANISATION AGREEMENTS

If delays in executing any of the Participating Organisation agreements means that you are at risk of not starting your grant by the date specified in the Grant Agreement, please contact the ARC Major Investments Team arc-postaward@arc.gov.au for advice.

DETAILED PROJECT PLANS/ AGREEMENTS

- Make sure the project agreements are well integrated within the research program to avoid it becoming a loose network of projects.
- Consider outlining the key milestones, reporting requirements, and an escalation process for issues/risks and mitigations.
- Consider how the projects will be managed through to translation of research outcomes including government engagement, avenues into influencing policy development, spin offs, and commercialisation. Have agreed tracking mechanisms for broad theme progress with partners and stakeholders (“stage gates”).

TIP: Document the project IP through an IP register: this can be a simple excel document list or something more technical to suit the needs of the Research Hub or Training Centre. Include information on the:

- Background IP
- Expected Project IP
- Process for managing new/emerging IP

Further information regarding the development of a [translation plan](#) is provided below.



Detailed project plans/agreements must be implemented in accordance with the 'Project Description' and within the broad structure of the proposed 'Project Cost' contained in the application, as well as any Special Conditions.

You may need to seek ARC approval for significant Research Program scope changes at the program level. These could emerge either during the early negotiations or during the lifespan of the agreement. For further details please see [Variations to Grant Agreement](#).



9. Additional interest to join the grant.

You may experience a surge of interest from other organisations that would like to be involved during the Establishment Period and beyond.

Ensure there is a clear strategy and criteria for managing requests for adding new organisations (Figure 2 Example of business decision for new partnerships.).

Example Framework for considering new Participating Organisations

- How does the Participating Organisation align in the research program and collaboration framework of other organisations?
- Does the new Participating Organisation enhance the capability and direction of the research program?
- Is this organisation replacing a Participating Organisation that has been removed from the grant? Is this 'like for like', or not?
- What is the impact on the existing shared IP arrangements?
- Is there clear support from the current Participating Organisations to add the new organisation?
- Is the new partnership more appropriate for:
 - A Fee for Service contract or consultancy arrangement direct with a university (for example when the partners are seeking 100% IP ownership)
 - A separate grant opportunity (e.g., ARC Linkage Projects, ARC Discovery Projects or Cooperative Research Centres Projects [CRC-P]) (for example, shared IP and outside of the Centre's Research Program of activities)

TIP: Consider a stakeholder strategy or a framework to evaluate the merits, risks, and strategic value of the prospective collaboration.

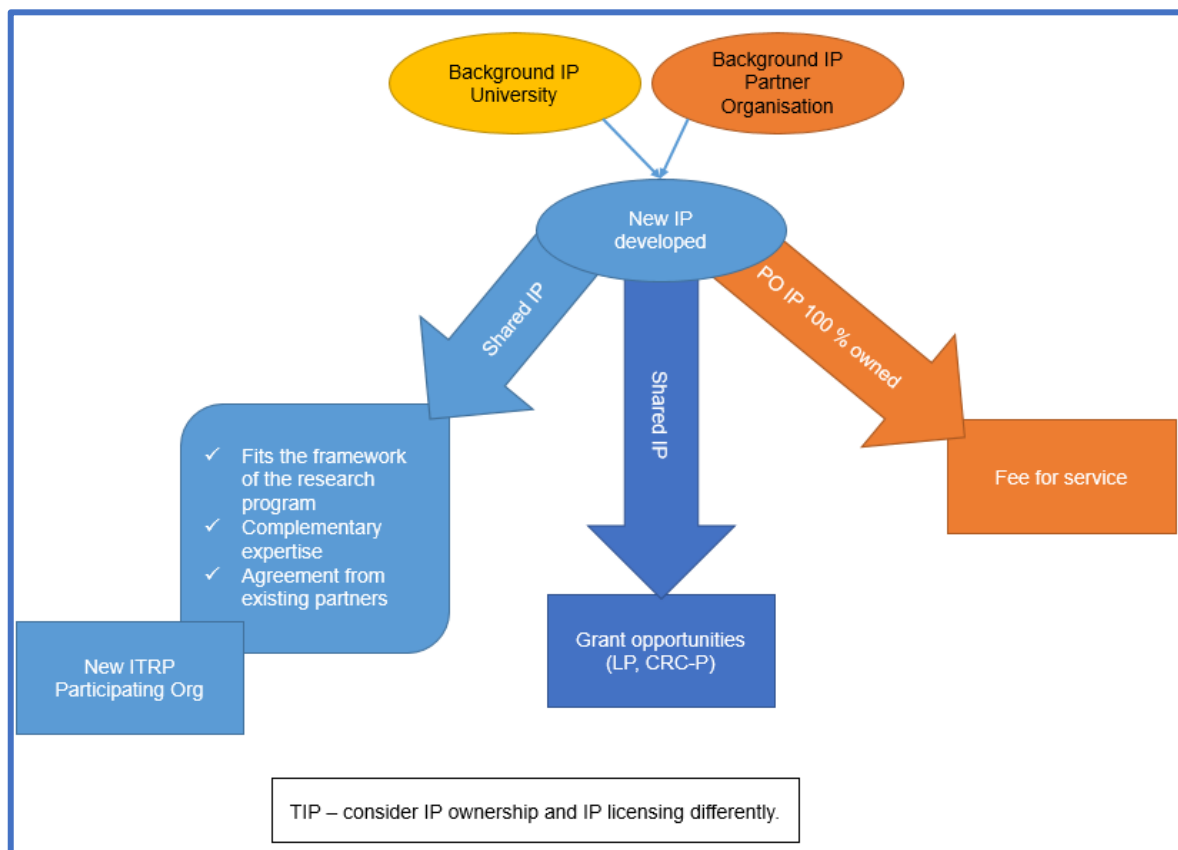


Figure 2 Example of business decision for new partnerships.

10. Governance

ARC Hub or Training Centre grants are large Commonwealth investments with multiple organisations involved and are considered by the ARC to be independent national research entities. As such, good governance practices are critical. Clear governance arrangements facilitate successful program management, increased participation, good risk mitigation, and effective translation of outcomes.

The role and responsibilities of these leadership positions must be documented and clear.

ARC does not give specific recommendations on governance structure. Talk to existing or former Directors and Business Managers for examples of working structures.

GOVERNANCE PROCESSES

It is very important to document the governance of the grant including how changes and issues will be managed. All committees require terms of reference which clearly outline the role of each committee, quorum requirements, and provide guidance on any recommendation or decision-making processes.

Clear operational processes should be developed, documented, and understood by the senior leadership. These should set out clear ground rules about who to consult for key decisions and in what instances. For example, you may wish to document how you will manage Code of Conduct, Equity & Diversity, Communications, Complaints, Conflict of Interest, Risk Management etc.

This can become useful when major decisions need to be made (*e.g., changes with Investigators, the directions and performance of the Project, and budget/ scope variations*).

Example of decision making using a Governance Process

- Senior leadership will take on advice from the majority of Chief Investigators as a recommendation for change.
- Then each decision will be made on a consensus basis by the Executive Management Committee and
- Failing consensus, the Director may call for a vote of Executive Management Committee members, who may pass resolutions on a simple majority basis.
- If the Executive Management Committee cannot reach agreement after discussing a matter at two consecutive meetings, the resolution shall be decided by the Director at their sole discretion.

This can help to generate a sense of inclusion and ownership over decisions and can help to dispel impressions of top-down governance. At the same time, it does not create significant issues through 'decision by committee' scenarios.

Reporting Lines

Establish clear management reporting lines for the ARC Hub or Training Centre to ensure there is smooth and regular communication with the relevant parties. This is both reporting to participating organisations as well as reporting back to the Administering Organisation to comply with ARC requirements.

Consider reporting lines within the context of the governance structure of the ARC Hub or Training Centre including across the nodes. Note that administration staff within other nodes may report to the Node leader Chief Investigator rather than the central administration team. This needs to be managed carefully as administrative staff are contributing to the ARC Hub or Training Centre as a whole, not appointed as executive or research assistants for researchers.

It is common for the Director to report to a Head of School, Dean, or in some instances directly to Deputy Vice Chancellor Research (DVC-R). The Administering Organisation should help inform Heads of School or Deans of their responsibilities in having a Director of a national research entity funded by the ARC reporting to them.

See also: [Personnel](#)

Financial Delegations

Delegations must be determined early for expenditure of Financial and Human Resources activities to allow for smooth operational autonomy for the Director, other Major Investment executives and Business Manager.

If a change to the structure of delegations inside a university is required, re-negotiate, and allow for lead time to complete this negotiation process.

Senior leadership should clearly support the efforts of the Business Manager and administrative team in managing operational requirements and intervene when necessary to ensure compliance by all participants, people, and organisations in managing expenditure and other reporting requirements.

TIP: for more ideas and to assist in engaging with other universities, contact Research Office staff, Business Managers to learn about administrative structures, identify key contacts and understand their financial and other delegations.



GOVERNANCE PLAN

A robust governance framework for the ARC Hub or Training Centre should identify:

- key expert advice needed.
- structure of the committees with Terms of Reference, including reviewing membership regularly
- ARC policy frameworks for managing conflicts of interest and confidentiality clauses.
- reporting requirements
- ongoing management of risks and mitigation strategies
- regulatory frameworks, university policy, and critical legislation requirements.

ROLES AND RESPONSIBILITIES

COMMITTEES

Executive Management Committee

The Executive Management Committee is responsible for providing leadership and decision making and thus requires organisational representation of senior leadership to ensure good management and research outcomes.

Clear roles and responsibilities should be documented for the Executive Management Committee to delineate between delegation/decision making responsibilities and when the committee provides advice.

The Business Manager is an important member of the Executive Management Committee to ensure operational aspects of the Centre are present in discussions, as context for the decision-making.

Members of the Executive Management Committee should be working together for the best interests of the ARC Hub or Training Centre (and not individual institutions).

Advisory Committee

The ARC recommends that an **Advisory Committee** is established as early as possible.

The purpose of the Advisory Committee is to assist the leadership by contributing to the development of strategies and vision for the future, relative to the proposed goals and objectives of the ARC Hub or Training Centre.

The Advisory Committee can be an invaluable source of strategic advice to the Director and senior leadership for developing and maintaining the strategic focus, the structure, and general operating principles, and leveraging potential national benefits such as opportunities for new intellectual property, commercialisation, and other important translation outcomes.

The Advisory Committee should be designed as a source of ideas for creating better linkages between academia, industry, government, and other sectors.

Membership

Membership should include people with critical strategic skills to advise on opportunities and challenges that could lie ahead, not only addressing current issues for the ARC Hub or Training Centre. The committee can have national and international membership and can play an ambassadorial role for the ARC Hub or Training Centres. Scientific, governance or operational expertise can be sought from members—whatever is needed to support the ARC Hub or Training Centre.

The ARC does not stipulate the number of members for committees, only that it should have the right mix of expertise.

Advisory Committee Terms of Reference

Develop clear Terms of Reference including:

- objectives and role
- scope of work and advice
- gender equality and diversity
- quorum requirements
- Early Career Researcher (ECR) participation (as a part of professional development and mentoring)
- equitable organisational representation
- refreshing membership regularly to continue developing and meeting new strategic directions.

Science and Industry Advisory Committees

The senior leadership may consider establishing one or both additional committees to complement the Advisory Committee:

- Science Advisory Committee which would provide advice on benchmarking of the research outcomes within the Research Hub or Training Centre.
- Industry Advisory Committee which would provide input on translation and industry engagement.

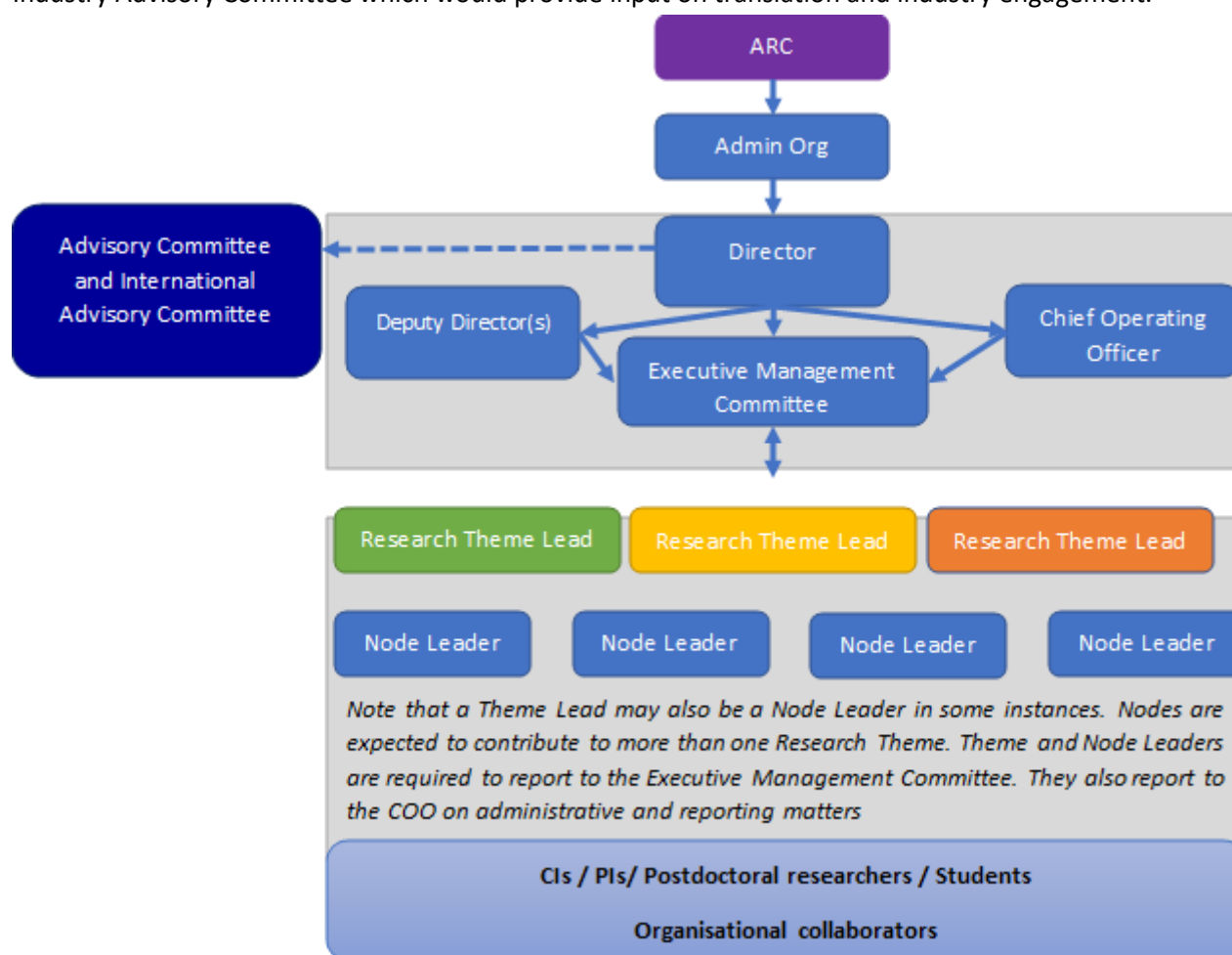


Figure 3 Example of key elements of a governance framework

11. Strategic and Operational Plans

Grant Agreement B2.3

You must put in place a number of plans during the establishment phase as noted in the Grant Agreement B2.3. Further advice is highlighted below as well as some considerations for other policies and procedures.

Table 1 ITRP Plans

Plan	Grant Agreement	Timeline
Transition Plan (if required)	B2.5.1	Within 3 months of the project's Grant Offer being executed by the ARC in RMS
Strategic Plan	B2.3	Within six months of the Project Start Date
Gender equality and diversity plan		
Mentoring and professional development program		
Recruitment plan (in line with D2.1.2)		
Translation Plan		
KPI targets	B5.1	Submit to ARC within 6 months of the Project Start Date.
Recruitment Commencement for ICHDR and ICPD	D2.1	Within 12 months of the Project Start Date

STRATEGIC PLAN

See Grant Agreement B2.3.1a

The Strategic Plan will form part of the Progress Reporting requirements for the first year of operations. Please see below for more information.

The Strategic Plan should incorporate:

- A clear purpose and vision statement
- The expected outcomes of the research and indicators of success
- detailed research translation and/or Intellectual Property strategies
- risk and mitigation plans
- succession plans for critical positions and how to have continuous development of staff as future leaders.
- identified and/or potential opportunities for more end-user and industry collaborations, including management strategies to action these.
- managing opportunities for exploring emerging research areas
- additional funding sources to support projects both during the Project Activity Period and once the Grant has ceased, to ensure continued support for key talent - students and postdocs.

- the approach for management of performance issues across the Research Program including:
 - provisions to allow projects which have reached their natural end to be closed.
 - discontinuing underperforming projects
 - redistribution of funding across the ARC Hub or Training Centre and appropriate consultation and discussion with relevant organisations and personnel in relation to such projects.

Revise the Strategic Plan annually and update over the project activity period, ideally with input from a broad range of members.

TIP: Seek feedback from Partner Organisations and end-users to define what success looks like to them which will help refine the future outcomes mentioned in the Strategic Plan.

TIP: Consider setting the KPIs prior to finalising the Strategic Plan.

GENDER EQUALITY AND DIVERSITY PLAN

See Grant Agreement B2.3.1 b.

You must put in place a Gender Equality and Diversity Plan which will support recruitment and employment of postdoctoral researchers, students and other staff including committees within six months of the Project Start Date. This plan should:

- Consider innovative strategies to position the ARC Hub or Training Centre as a flexible, inclusive, and an environment that enables a good work life balance.
- Support innovative recruitment processes and employment conditions of postdoctoral researchers, students and other staff including committees.
- Encourage the recruitment of and flexible employment arrangements for research personnel and other staff including committees.
- Be developed in conjunction with the human resources areas of the Participating Organisations.

MENTORING AND PROFESSIONAL DEVELOPMENT PROGRAM

See B2.3.1 d.

You must put in place a Mentoring and Professional Development Plan within six months of the Project start date.

The mentoring program within the Research Hub or Training Centre should focus on the development of a future research workforce that are 'industry ready' and able to work across academia, industry, government/policy, and Non-Government Organisations.

This plan should:

- Outline the implementation of a high-quality supervision, mentoring and professional development program which encompasses all students, post-doctoral researchers, and mid-career researchers.
- Outline mechanisms for student supervision, including co-supervision by researchers both across nodes and across academic disciplines or even across participating organisations.
- Where appropriate, confirm that the Director, CIs, and PIs must act as supervisors and mentors to assist less experienced personnel in developing research management and leadership skills and outline mechanisms through which this can occur. AIs may also undertake a mentoring role.

TIP:



- Consider what professional development courses can be leveraged from what is offered by the Administering Organisation, but also build into the budget funding for specialised training.
- Consider having an ECR committee as an avenue for students and post docs to provide feedback to management.
- Consider including a training plan.

RECRUITMENT PLAN

See Grant Agreement C2.2, for Training Centres please also B2.3.1 c, D2.1.2

Adopt innovative and best practice university recruitment processes for the recruitment of staff to the ARC Hub or Training Centre, the investment should attract the best candidates.

For example, you might consider innovative recruitment procedures to enable gender equality and diversity outcomes.

Consider the timing of appointments for staff and students across the life of the ARC Hub or Training Centre to ensure an appropriate balance of resources and supervision of staff. Plan for the final years of the ARC Hub or Training Centre to ensure students are not left unsupported or unsupervised or have research activities that extend beyond the project end date.

It is important to achieve a balance of senior positions and post-doctoral researchers across all academic levels. This will create a strong foundation for effective succession planning in the ARC Hub or Training Centre.

Following recruitment, all staff should undergo an induction process. Plan for ongoing [professional development and mentoring](#), ensuring that plans are in place throughout the life of the Project.

Be innovative in ideas for mentoring and supervision—the ARC Hub or Training Centre is building a future research workforce.

See also [Personnel](#)

TRANSLATION PLAN

See B2.3.1 e.

You must put in place a translation plan within six months of the Project Start Date.

This plan should:

- identify actual and potential end users including industry sectors and what success looks like to them.
- map a clear pathway to research impact.
- describe how progress can be monitored and measured.
- show how data will be collected to undertake impact monitoring and evaluation.
- outline of the benefits including IP arrangements and commercialisation pathways.

Consider mapping your translation of research outcomes early and plan for what impact and engagement measures can be used. What do the key successes look like to the end users? What is the measure for these successes? Have a strategic plan for capitalising on those opportunities.

Consult with your stakeholders and end-users of the research to ensure the impact measures are fit for purpose. See the [ARC Website](#) for more information on research impact.

DATA MANAGEMENT PLAN

See A2.2.5

A Data Management Plan must be developed prior to commencement.

The plan needs to describe how the ARC Hub or Training Centre will manage the long-term preservation of data and metadata arising from the grant. Some considerations include storage, access and reuse arrangements of the data emerging from the ARC Hub or Training Centre.

This plan should be reviewed and updated regularly.

SETTING KEY PERFORMANCE INDICATORS (KPIs)

See Grant Agreement B5.1.1 You must submit Key Performance Indicator targets for the project for ARC approval within 6 months of the Project Start Date.

Please refer to the ARC KPI Guidance document on the ARC website when setting your KPIs.

Prior to commencement of the project, all ARC Hub or Training Centre must set performance targets across a range of categories for each year of funding. These performance targets or KPIs, are reported annually through the Progress Report.

KPIs are only one measurement of the overall performance of the ARC Hub or Training Centre. It is important that adequate time and consideration is given to setting up KPI data collection processes.

Consider KPIs early and as one important mechanism for monitoring progress. KPIs targets must have aspirational targets to stretch performance. Excluding Year 1 performance where the ARC Hub or Training Centre is still establishing, consider reviewing KPI targets each year to ensure they are fit for purpose, as the targets may be revised with ARC approval.

TIP: You can amend the KPI targets for the forward years at any time. You will need to seek approval from the ARC by emailing ARC-Postaward@arc.gov.au and provide a short rationale for the changes. If approved by the ARC, the updated targets can be reported on in forward years.

BUDGET PLAN

During the establishment phase, it may be necessary to revisit the original budget costings to the research program. If revisions are needed, make sure it is clearly documented. Include details on other changes in research direction or issues with equipment purchase or infrastructure access.

If there are significant changes to the budget, which include large chunks of funding being moved across line items, for example personnel, equipment, or travel, then a Budget Variation is required to obtain ARC approval. For more information, please see the Variation to a Funding Agreement information on the [ARC Website](#), and [Variations to a Grant Agreement](#) in this document.

Have clear arrangements on the distribution, and in some cases recovery of funds, across nodes in response to managing the performance of the research program.

It is important to ensure that sufficient funds are allocated for administrative costs right to the end date of the ARC Hub or Training Centre grant, or beyond (with approved use of Administering Organisation funds), to ensure all final reporting requirements are met.

Carefully consider the eligible budget items which the ARC funds can support, and which items will need to be supported through other funding sources. See the Grant Guidelines 5.1-5.11 for more information on eligible and non-eligible budget items.



Items which are not eligible for ARC funding can be supported from university or partner funds.

It is important to have clearly documented rules for how the funds will be distributed so there is transparency in the process, including strategic funds.

It is also advisable to have a clear mechanism in place to report costs associated with ARC funds separate to other funds.

Strategic Funds

Consider setting aside a pool of funds for strategic purposes. Agreement on the use and distribution of these funds should be established early and should be tied to rigorous performance management of the research projects.

The Administering Organisation should centrally administer strategic funds and its distribution with oversight by the [Executive Management Committee](#)

Previous Administering Organisations have set aside extra income from ARC indexation or bank interest to supplement strategic funds. See also [Indexation](#)

These funds can support new or serendipitous opportunities that may emerge. For example, an 'Innovation Award' that drives new directions, ideas, or applications. You must ensure these emerging investments align with the research program in the application or subsequent approved project scope change. These strategic funds can also be used for management of risk by funding mitigation plans if risks are realised.

Some examples to use strategic funds include:

- Supporting unexpected gaps in the research program (such as technology, equipment or bringing in additional expertise).
- Responding to serendipitous opportunities which will enhance the existing research program. These emerging opportunities are often time sensitive with a high risk, but high return.
- Use funds as part of the Centre's risk management for when a research project is not performing as expected. The Centre leadership should consider a risk assessment of each project which can then identify areas of high return or potential new opportunities, as well as any areas which could potentially have issues (such as equipment failing or loss of expertise).

Cash Contributions

Consider and document a model for managing and distributing cash contributions from Participating Organisations. For example, some ARC Hub or Training Centres receive all cash contributions from Partner Organisation through the Administering Organisation, which then distributes the funding across the nodes.

PROFESSIONAL DEVELOPMENT OPPORTUNITIES

See also [Mentoring and Professional Development Program](#)

The primary purpose of the Training Centre grant is to deliver innovative Higher Degree by Research (HDR) and postdoctoral training with a focus on creating end-user research capabilities. This means being 'industry ready'.

Research Hubs should also consider their training and professional development opportunities for their HDR and Postdoctoral Researchers.



The training and development of HDR and postdoctoral researchers should be a critical focus of the Training Centre and should be considered by Research Hubs. It is expected that the training program offered builds upon the university offerings.

Generally, universities will offer training across the following broad areas:

- research skills, such as designing experiments, statistics, ethics, file management.
- academic writing and communication skills
- how to apply for a research grant

The Research Hub or Training Centre should ensure consistency across the nodes so that all students associated with the investment have equal opportunities.

Previous Research Hubs and Training Centres have provided innovative training and development opportunities in the following areas:

- critical technical training, relevant to the research including creating interdisciplinary modules and training.
- how to pitch for business/industry support
- media training and communication
- intellectual Property and commercialisation
- how to start a spin-off company or be entrepreneurial
- 'Soft skills' training such as effective communication, building teams, strategic leadership, management and end user engagement and commercialisation.
- consultancy training including working in teams to develop solutions, write consulting reports and recommend next steps.

Research Hubs and Training Centres can also consider co-ordinating with other Major Investments to leverage further professional development such as sharing workshops which can allow for cost sharing and provide networking opportunities.

CREATING AN ARC HUB OR TRAINING CENTRE AS AN ENTITY

See B2.2.1

An ARC Hub or Training Centre is considered a national research enterprise that operates as an entity within the Administering Organisation.

You can engage external consultants to assist with web design and branding or reach out to the University's marketing/public relations staff for assistance.

Website and Social-Media

Establishing a website and social media presence is necessary to distinguish the Major Investment as its own entity and not a sub-department of a university see Grant Agreement B2.2.1.

Websites and social media platforms facilitate greater engagement with the public and have been used to great effect to communicate activities and outcomes by previous grants.

It may be beneficial to establish a placeholder website to ensure that there is a domain name and URL available. There is currently no specific guidance from the ARC around domain names and previous entities have used .com, .org, and .edu.



TIP: Directors can acknowledge their title in their signature block prior to the Centre commencing but after the Grant Offer has been executed.

TIP: Share your Twitter handle with ARC-Communications@arc.gov.au and tag ARC in your posts (@arc_gov_au).

Logo

The ARC does not have any specific requirements in the development of a logo; however, you must ensure that branding material such as banners and signs acknowledge the ARC.

You could develop the logo as part of a team building exercise, the result of an internal competition, or seek professional expertise. Other ARC Hub or Training Centres have requested the public or school groups enter their designs for a logo.

Further information on usage of the ARC logo can be sought from the ARC communications team: CEO@arc.gov.au

Signage

Signage for the ARC Hub or Training Centre should be in a prominent place within the Administering Organisation and nodes. Signage must include the ARC logo and full title of the ARC Hub or Training Centre.

Launch Event

See Grant Agreement B2.4

All ARC Hub or Training Centres are required to hold a launch event within 12 months of commencing.

Launches should be organised in consultation with the ARC, following protocols set out in the ARC's event advice which is available from the ARC Stakeholder Relations team (CEO@arc.gov.au).

The Federal Minister for Education and the ARC CEO must be invited to the launch. Please refer to the ARC event advice for protocol if The Minister and/ or the ARC CEO cannot attend.

TIP: Read the ARC event advice before you commence planning your launch event.

TIP: The timing of the event should be chosen so that initial achievements can be showcased. Attendance by Partner Organisation representatives is desirable.

Some example formats for launches are provided below:

- Opening of a new building
- New equipment and laboratory tours
- Unveiling of signage

Launch functions are often held near laboratory facilities or within a general function area in the University. External venues could include Parliament House in Canberra or the Shine Dome.

In some cases, the launch is held in conjunction with another event such as a workshop, summer/winter school, or annual meeting to maximise attendance. Inviting the Minister and ARC CEO is not a requirement for satellite events or general non-launch events.



TIP: ARC Stakeholder Relations team CEO@arc.gov.au can assist with contact for the Federal Minister for Education. It may also be appropriate to consider inviting other Federal or State Parliamentarians. Ensure you advise the ARC that you are doing that.

Acknowledging the ARC

See Grant Agreement section 7.

The ARC Hub or Training Centre will need to develop clear strategies around which research outputs and outcomes are appropriate to be acknowledged under the Major Investment.

12. Reporting and Monitoring

See Grant Agreement B5

Reporting requirements are outlined in the Grant Agreement. These will require data collection and use of reporting tools. Consider how data is requested, collected, and presented and how it will be used over the years. The leadership will need to ensure a robust and accurate mechanism to report and track against KPIs for their own purposes as well as reporting to the ARC.

TIP: Report internally against KPIs monthly or quarterly over the life of the ARC Hub or Training Centre. This information can be communicated across the nodes and make it easier to collate data for the Annual or Progress Reports.

TIP: There are many tools available beyond Excel—speak to existing COOs and Business Managers about the different systems they use. Some have an in-house custom-built tool, while others use externally commissioned online reporting databases.

VARIATIONS TO GRANT AGREEMENT

See Grant Agreement A2.3

Your Research Office will provide guidance on variations to the Grant Agreement. More information can be found on the ARC website.

Also refer to the “Research Office Instructions for completing and submitting a Variation and/or POACR” available on the ARC website.

Participating Organisations - Change, Removal, or Default

See Grant Agreement A2.3.5c

A variation is required when a change to current Participating Organisations is sought. You must provide the [Participating Organisation Agreed Contribution Report](#) in RMS for any revisions.

When considering Participating Organisation changes, consider alignment with the budget, aims and research program as outlined in the application or as approved by the ARC in a [Scope Change Variation](#).

Within the variation, ensure the following information is provided:

- clarify if the new organisation is a replacement or addition.
- a rationale of what benefits the organisation brings to the investment (subject matter expertise, personnel, etc).
- if the organisation is a replacement, identify if there is a shortfall on contributions and if it affects the research program.
- Include all relevant researchers associated with the organisation change.



Adding or Changing Business Managers/ Chief Operating Officer in RMS

See [Personnel](#) for ARC approval requirements prior to adding a Business Manager to RMS.

- Contact your Research Office for advice to add a Business Manager/ COO to a project in RMS, including CV and a statement on the suitability of the candidate.
- Request an RMS account (*if not already completed*)
- When the account is approved by the Research Office - complete all questions under personal profile (*if not already completed*). **Conflicts of Interest, employment history, and qualifications are mandatory fields. These fields must be completed before the ARC can process the variation.** *Note: availability, current ARC projects, and Research Outputs are not required for administrative roles.*
- The Research Office will submit the required variation in RMS.

Change to Director

You will need to work closely with the ARC to manage a request for a new Director.

For a change of Director these additional steps need to occur:

- Notify the ARC via email to advise that a leadership change will take place including the reason for this change.
- The ARC will provide details about the process. This will include a justification for the appointment, an interview with the proposed Director; the DVCR (or equivalent); and the Director, Research Office.
- A process should be undertaken by the Administering Organisation to identify an appropriately qualified person to lead the ARC Hub or Training Centre.
- The recommended replacement is expected to be competitive with the original director and could be drawn from within the University or Grant if appropriate, or the Administering Org could conduct a competitive recruitment process.
- You must advise the ARC via email that a candidate has been recommended and that the necessary preliminary approvals have been given by the other Participating Organisations.

The ARC will advise the Administering Organisation whether the appointment of the new Director may progress. This may include follow up conditions required to support the new Director taking on the role.

If the ARC advises that the appointment may proceed, a variation to grant agreement must be submitted through RMS for final ARC approval of the Director change.

For interim Director arrangements for more than two months, the process noted above may apply. Please contact the Major Investments team at ARC-Postaward@arc.gov.au for advice. For shorter periods to manage leave arrangements of less than one month please notify the ARC.

Other Personnel Changes (including add/update CIs)

See Grant Agreement A2.3.5 b.

- All replacement Chief Investigators (CIs) or Partner Investigators (PIs) must meet the **eligibility criteria** specified in the Grant Guidelines.
- All replacement CIs and PIs must have the **relevant expertise** which is commensurate with or equivalent to the standard of the original team which was awarded the Research Hub or Training Centre.
- All replacement PIs must have **research and/or supervision/mentoring and/or management expertise** which is commensurate with or equivalent to the standard of the original team which was awarded the ARC Research Hub or Training Centre.



Approval must be sought from the ARC for the change in specified personnel by submitting a Variation request to the ARC in RMS. See Variation to a Funding Agreement information on the 'Manage your grant' page on the [ARC Website](#).

Scope Changes

See Grant Agreement A2.3.5 a

A need for a change in scope can either emerge during the early negotiations or during the lifespan of the agreement. Scope changes must be approved by the ARC through a Variation request in RMS.

Prior to submitting a scope change variation in RMS, please email the Major Investments team at ARC-Postaward@arc.gov.au with the following details:

- A brief outline of the current scope of the Centre's research program.
- A summary of proposed changes, including rationale, benefits, and any risks.
- A summary of any budget changes in response to the scope change.

The ARC will review the request and if approved, a scope change variation can be submitted through RMS by the Research Office. In many cases, a meeting with the ARC and the Director, Business Manager and Research Office staff are organised to discuss the scope changes as a first step.

If you're unsure if your change requires a scope change variation, please contact the ARC Major Investments team to discuss it.

Examples of scope changes that would be considered for approval by the ARC.

Example 1

Three themes and six sub projects were described in the proposal. However, after accepting the funding offer there was a return rate of 90% of ARC funds and it was decided that the grant would scale back and



remove two of the sub projects from the research program. There is no major impact to the overall outcomes.

Example 2

A proposal included six themes of research, each with two students to work under the themes. Due to recruitment issues, one of the themes was unable to find suitable candidates to satisfy the industry partner's needs. The Administering Organisation requests to change the scope to remove that theme and embed critical components into another theme.

Example 3

A Partner Organisation withdraws from the Project and a new Partner Organisation is interested in joining the grant under a different/new research theme than the original Partner Organisation was involved in. This new research direction is still within the intent of the Research program and can be integrated easily into future research program activities. The Administering Organisation requests a new organisation and scope change variation to seek permission from the ARC.

Examples of scope changes which would NOT be approved by the ARC.

Example 1

A Partner Organisation has changed priorities and wishes to make changes to a research theme which fall outside the objectives of the research program or scheme objectives.

PARTNER ORGANISATION AGREED CONTRIBUTION REPORT (POACR)

See Grant Agreement A2.3.5 c.

Your Research Office is required to submit a new Participating Organisation Agreed Contribution Report in RMS for revisions to Participating Organisations. Please ensure you notify the Research Office of all changes relating to cash and in-kind contributions.

PROGRESS REPORT

See Grant Agreement B5.2

Additional information, including Progress Report templates and instructions are provided on the ARC Website (Manage your Grant → Reporting Requirements → ITRP Reporting).

Three key stages in the project lifecycle have been identified for Research Hubs and Training Centres and there is a corresponding template for each:

- **Establishment Report** (Accepted the funding offer, but yet to commence): an email update of progress to date is required to be submitted to the ARC. Considerations for inclusion:
 - progress against development of plans and governance.
 - summary of outreach, strategic planning activities,
 - highlight significant changes to partnerships (including new opportunities).
 - summary of progress on student recruitment.
 - activity plan for next 12 months.
- **Year 1** (Project has commenced and is within the first year of operating): Complete Year 1 Template.



- **Years 2-5** (Project is in its second or later years through to the end of the Project): Complete Years 2-5 Template to be completed, which identifies any key changes from the previous year's Progress Report and a short research highlight story.

END OF YEAR REPORTING (EOYR)

See Grant Agreement A5.2

KEY PERFORMANCE INDICATORS (KPIs)

Progress Report must include updates on KPIs. See Grant Agreement B5.1.2. See also [Setting Key Performance Indicators \(KPIs\)](#).

REVIEWS

Performance Reviews

See Grant Agreement B5.3

Performance Reviews may be undertaken in the third year of operation. The Research Office and DVCR (or equivalent) of the Administering Organisation will receive an email from the ARC advising that the Research Hub or Training Centre has been selected for a review.

A Performance Review will assess the satisfactory progress or otherwise, which affects the continued provision of Grant funding as per Grant Guidelines.

The RO, Director, and Business Manager will be provided with guidance material and the Terms of Reference which outline the criteria for the Performance Review.

The Performance Review criteria includes consideration of the operations, management and governance of the Research Hub or Training Centre which may include:

- the effectiveness of the Research Hub or Training Centre in building a **collaborative research team**
- the effectiveness of building human capacity through supporting and mentoring students and postdoctoral researchers as a future research workforce
- the growth in capability and capacity for the industry sector
- the quality and effectiveness of the communication, education, and outreach strategies
- the effectiveness of the **gender equality and diversity plan** in developing a flexible and family friendly work environment
- the quality of **commitment and support** provided by Participating Organisations
- the quality of the strategic planning and succession planning
- the effectiveness of the governance framework and the Research Hub's or Training Centre's administration and operations.

Performance Reviews involve the consideration of documentation submitted to the ARC and a comprehensive site visit and/or interview. The Review Panel, which will include members external to the ARC with relevant expertise, will review the submission material and attend the site visit or interview.

Examples of reasonable assistance requested by the ARC to undertake the review may include assistance with the preparation of the agenda, preparations for the site visit (face to face venue or virtual technology arrangements), and catering for the Review Panel.

The Performance Review will produce a Review Report which will include recommendations from the Review Panel for response. Progress against implementing the recommendations will be monitored through the Progress Report and ongoing consultation with the ARC Hub or Training Centre.



Ad hoc Performance Reviews

See Grant Agreement B5.3.6

Ad hoc Performance Reviews may be undertaken at any time.

The ARC will notify the Administering Organisation, the Director, and the Business Manager if the investment has been identified for an Ad hoc Performance Review. This review may include a site visit and may follow the same format as outlined in the Performance Reviews. The ARC will provide further information at the time of notification.

FINAL REPORT

The Final Report will be made available by the ARC in RMS well before the end date to allow sufficient time to complete the report.

Guidelines for completing the Final Report for all ARC schemes is available on the 'Grants Administration' page on the [ARC website](#).

If a Final Report is considered by the ARC to be inadequate, unsatisfactory or is not submitted on time, you will be contacted for further information.

TIP: Final Reports can take significant time to complete, and we recommend that You consider populating the form well before the end date, particularly with regards to Research Outputs.

TIP: You will need to consider administrative staff support after the end date to complete and submit the Final Report. This may include continuing the Business Manager or providing part-time resources from the Administering Organisation.

IMPORTANT: Overdue Final Reports will impact eligibility for the Director, and all named Chief Investigators for future applications for ARC funding.

13. Personnel

See also [Recruitment Plan](#)

ROLES AND RECRUITMENT

Business Manager

ARC funds are allocated to appoint a Business Manager for the Research Hub or Training Centre. The Business Manager should be appointed at a level appropriate to the complexity and seniority of the role, this is usually HEW level 8 or 9. at the HEW 8 – 9 level.

An appropriate competitive recruitment process should be followed. The Business Manager is a vital participant and is expected to lead the business and operational management.

Following the recruitment process, You may make an offer of employment which is conditional to ARC approval.

The request for ARC approval must include:



- a short curriculum vitae of the proposed Business Manager
- a statement outlining the suitability of the proposed Business Manager for the role and the functions they will undertake.

As one of the first appointees, the Business Manager will play an important role in coordinating the negotiation and execution of the Participating Organisation Agreements in collaboration with other Participating Organisations.

Following formal appointment please notify the ARC Major Investments Team (ARC-Postaward@arc.gov.au), who will organise a videoconference or face-to-face meeting for introductions and to facilitate an ongoing and productive working relationship.

We encourage new Business Managers to reach out to the regional network in their state (NSW, VIC and QLD only). If a network does not exist within your university, reach out to the Major Investments team (ARC-Postaward@arc.gov.au) who can provide some network contacts.

See also [Adding a new Business Managers/ Chief Operating Officer](#)

CHANGES TO PERSONNEL

See [Variations to Grant Agreement](#) for changes to:

- Change to Business Manager
- Change to Director
- Changes to other Personnel including CIs and AIs

14. ITRP Grant Details

ARC HIGHER DEGREE BY RESEARCH (HDR) RATES

IMPORTANT: The HDR stipend must be paid at an appropriate level as specified in the ARC salary and stipend page on the [ARC Website](#). Should students be paid less than the specified amounts, You will be required to back pay the difference using ARC funds. If ARC funds have been spent, You will need to back pay using university or other funds.

- The ARC encourages the Research Hub or Training Centre to use innovative methods to recruit for prospective high-quality positions including HDRs. The recruitment process must be of a competitive nature and seek applications from national and international candidates.

IMPORTANT: Note that if you have international appointees, ARC funding cannot be used for covering international student fees.

- If recruitment is staggered over the course of the Research Hub or Training Centre, careful consideration must be given to a wind-down strategy to ensure that students are not left unsupported to complete studies after the Research Hub end date.
- There have been cases where the ARC has approved additional top ups to HDR positions, such as ensuring equity across the cohort or to attract quality students in a competitive environment. ARC funded HDR positions are not allowed to use ARC funds as a source for top up to the salary. However, there are a number of alternative sources, as outlined in the table below:

Table 2: Example of salary top up arrangements.

Type	Funding source	Allowed (Y)
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		Not allowed (N)
ARC Stipend	ARC top up	N
ARC Stipend	Other funds (Partner or University)	Y
Partner Organisation stipend	ARC top up	Y
APA Stipend	ARC top up	Y
University Stipend	ARC top up	Y

Contact the ARC Major Investments team (arc-postaward@arc.gov.au) for more information.

RESEARCH HUBS GRANT DETAILS

Managing 75% threshold of Partner Organisation cash contributions

See A3.7 of the Grant Guidelines. Combined **cash contributions** for Partner Organisations must be at least 75% of the requested ARC funds, if any Partner Organisation has more than 100 employees.

Partner Organisation contributions need to be aligned with the budget, aims and research program as outlined in the application or as approved by the ARC in a [scope change Variation](#).

During the life of a Research Hub, Partner Organisations' contributions may change or default on payments and The Administering Organisation is responsible for ensuring the threshold is maintained. Please contact the ARC Major Investments team (arc-postaward@arc.gov.au) for advice.

TRAINING CENTRES GRANT DETAILS

See Grant Agreement Part D

ARC Funded Positions

See Grant Agreement **Definitions**:

- **ICHDR** means a HDR candidate funded by the ARC through the Administering Organisation, who meets the ICHDR candidate eligibility criteria under the Grant Guidelines, and who will be employed on the Training Centre Project.
- **ICPD** means a postdoctoral fellow funded by the ARC through the Administering Organisation, who meets the ICPD candidate eligibility criteria under the Grant Guidelines, and who will be employed on the Training Centre Project.

Funding for ICHDRs and ICPDs is provided as part of the one-line budget in the Grant Offer. In cases where the funding offer is less than requested in the Application, You must review the Grant Offer and determine the appropriate number of ICHDR and ICPD positions within the Training Centre. It is expected that if You are awarded the full amount of ARC funding, You will employ the number of positions as outlined in the application. You must also check and adhere to any Special Conditions.

RECRUITMENT OF ICHDR AND ICPD

See Grant Agreement D2.1.1

Recruitment of ICHDRs and ICPDs must commence within 12 months of the Project Start Date of the Training Centre. **A recruitment plan must be developed within 6 months of the Project Start Date** outlining the process which ensures ICHDRs complete their studies by the Project End Date.



HDR and PDs which are not funded with ARC funds can be phased across the grant life as appropriate, whilst ensuring completion of studies are managed towards the Training Centre's end date.

Top-ups can be approved in some cases. See **Table 2: Example of salary top up** and **Examples of salary management of ICHDRs and ICPDs**

Examples of salary management of ICHDRs and ICPDs

Example 1: Scholarships

Three students, one recruited to an ICHDR position and two recruited to industry funded HDR positions, were awarded scholarships from the university. The stipend for the ICHDR position was proposed to be split across the three students to increase their salary from APA to APAI rates to retain them within the Training Centre.

The Administering Organisation requested this change for ARC approval.

Example 2: Attracting Talent

The Training Centre increases the stipend rates to attract and retain talent across the ICHDR and ICPD positions, the Administering Organisation can use non-ARC sourced funds to provide that top up.

Example 3: Disparity of salaries

There is often a mix of ARC funded ICHDRs and ICPDs and non-ARC sourced funded HDRs and PDs within the Training Centre which can lead to a disparity in salaries across the cohort. It is common to use non-ARC funds to top up students salaries to ensure equity across all students within the Training Centre.

ICHDR or ICPD Salary Conversion of funds

The ARC may consider a request for an ICHDR or ICPD salary conversion to project funds. These will only be considered in exceptional circumstances, as outlined below:

Case study—example of ICHDR or ICPD salary funds converted to Project Grant funds.

In the later years of the Training Centre a student has vacated the ARC funded position. The recruitment process to replace this student fails to find anyone suitable or there isn't enough time left to support another student.



The Director/Business Manager/Research Office staff contacts the ARC to provide an update on this issue and requests to convert to project funds to complete a component of research which is aligned with the research program as outlined in the Application.

The Research Office submits a Variation (Budget Change) for consideration for approval by the ARC.

Change of ICHDR or ICPD

The unspent component of grant funding provided for the initial cohort for ICHDR or ICPD may be used for the replacement ICHDR or ICPD. However, the ARC will not supplement the grant funds to cover any salary funding in excess of that originally funded for the Training Centre. You will be responsible for any shortfall between the amount of the funding provided by the ARC and the amount required for the replacement ICHDR or ICPD.

ARC Grant funds cannot be used past the Project End Date. The appointment term of the replacement ICHDR cannot be extended beyond the Training Centre End Date for the purposes of meeting PhD requirements.

If the tenure goes beyond the Project End Date:

- You will be responsible for **ongoing support** of the candidate and their research project until completion of the candidate's research project as ARC Grant funds cannot be used past the Project End Date.

The term of the replacement **ICPD must finish** on the Project End Date.

ICHDR and ICPD Employment Conditions

You may approve a **part-time award** subject to Your employment conditions, however You must ensure that any students' studies are completed before the end date of the Training Centre.

Conditions of employment for personnel must be those of the employing organisation.

You may provide ICHDRs and ICPDs with **sick, recreation and maternity parental leave** in accordance with Your usual practice. The ARC supports these costs through the 30% on-costs which You manage. The ARC will not provide additional Grant funds to cover accrued leave proposed to be taken after the ICHDR and ICPD period has expired or been terminated in accordance with this Agreement. ICHDRs and ICPDs should therefore take recreation leave or other leave during the period of the ICHDR and ICPD tenure.

Additional ARC funding will not be provided for this purpose.

The ARC will not supplement the funds to cover any additional costs incurred as a result of any leave being taken or a delay in finalisation of the Training Centre.

ICHDR Placements

As stated in the Grant Guidelines, You are responsible that ICHDRs funded through the Training Centre grant conduct research for a minimum total of one-year full-time placement with a Partner Organisation(s) (outside the higher education sector) over the project activity period.

As part of the establishment of the Training Centre, a clear plan should be developed and agreed with all parties which identifies opportunities for placements for students with Partner Organisations.

Any new organisations interested in joining the Training Centre must also provide placement opportunities as part of their agreement.

Placement tips:



- Placements do not have to be conducted as a 12-month period and can be broken up into smaller periods across the ICHDRs term.
- Placements have worked successfully across multiple Partner Organisations providing opportunities for exposure across a lifecycle or processes.
- There have also been successes where two Training Centres with complementary research areas have shared placement opportunities across the combined Partner Organisations.
- Placements can also be conducted virtually with Partner Organisations that are interstate or overseas. In these cases, ICHDRs have found that they had more opportunities to be involved in meetings and discussions within the organisation with this format.

