

**IN THE FAIR WORK COMMISSION
4 YEARLY REVIEW OF MODERN AWARDS
AWARD STAGE – GROUPS 3 AND 4**

Matter Nos: AM2014/281 (*Professional Employees Award 2010*)
AM2015/6 (Education Group)

Applicants: The Association of Australian Medical Research Institutes (**AAMRI**) and the Association for Professional Engineers, Scientists and Managers, Australia (**APESMA**)

**OUTLINE OF SUBMISSIONS IN RESPONSE
THE ASSOCIATION OF AUSTRALIAN MEDICAL RESEARCH INSTITUTES
AND
THE ASSOCIATION FOR PROFESSIONAL ENGINEERS, SCIENTISTS AND MANAGERS
AUSTRALIA**

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INTRODUCTION

1. On 2 March 2015, the National Tertiary Education Industry Union (**NTEU**) made applications to vary the *Higher Education Industry—Academic Staff—Award 2010* (MA000006) (**Academic Award**) and the *Higher Education Industry—General Staff—Award 2010* (MA000007) (**General Staff Award**) (or collectively, the **Higher Education Awards**) with the effect that the Academic Award and the General Staff Award cover employees of medical research institutes (**MRIs**), as part of the 4 yearly review of modern awards (**Review**) (collectively, the **NTEU Applications**).
2. The Association of Australian Medical Research Institutes (**AAMRI**) on behalf of its members, and the Association for Professional Engineers, Scientists and Managers, Australia (trading as Professionals Australia) (**APESMA** or **PA**), oppose the NTEU Applications.
3. On 11 March 2016, the NTEU filed an outline of submissions in support of the NTEU Applications (**NTEU Submissions in Support**).
4. AAMRI and APESMA set out the following submissions in response to the NTEU Submissions in Support.
5. In addition, on 11 March 2016, AAMRI and APESMA filed an outline of submissions in support of their application of 16 October 2015 to vary the *Professional Employees Award 2010* (**PEA**) in order to clarify and extend the coverage of the PEA with respect to MRI employees (**AAMRI & APESMA Application**). AAMRI and APESMA refer to and rely upon those submissions (**AAMRI & APESMA Submissions in Support**).
6. The role of AAMRI and APESMA, and the background to this matter are set out in detail at [1] to [13] of the AAMRI & APESMA Submissions in Support.

NTEU SUBMISSIONS IN SUPPORT

7. The NTEU made similar applications to the NTEU Applications as part of the transitional review of all modern awards starting in 2012 (**Transitional Review**). DP Smith dismissed the NTEU Applications (**Transitional Review Decision**).¹
8. The NTEU, at Part L of their Submissions in Support:

¹ *National Tertiary Education Industry Union* [2013] FWC 7947.

- (a) refers to and relies upon all previous submissions, evidence, and other materials (including transcript of the case) relied upon in the Transitional Review;
 - (b) relies upon the evidence of 3 additional or updated Witness Statements; and
 - (c) makes no further submissions in support of the NTEU Applications than those made as part of the Transitional Review.
9. AAMRI and APESMA understand that the NTEU submits the following grounds in support of the NTEU Applications, based on the arguments made in the NTEU's Final Submissions to the Transitional Review (4 June 2013).

Previous determination of coverage

10. The NTEU claims that "*There is no evidence that NTEU submissions around research institutes were given consideration as part of the making of the Higher Education Awards and no determination was ever made*" at [13].

Modern award coverage

11. The NTEU claims that:
- (a) "*It is not clear than [sic] any Modern Award applies to any of these employees*" employed by MRIs at [8.1]; and
 - (b) "*The Awards contended for by AAMRI do not apply or are at best uncertain in their coverage*" at [9.E].

Appropriateness of Higher Education Awards

12. The NTEU claims that "*The Higher Education—Academic Staff—Award 2010 and the Higher Education—General Staff—Award 2010 are the appropriate awards to cover these employees*" at [9.D].
13. It makes several further submissions which relate to the appropriateness of the Higher Education Awards, including that:
- (a) "*In the case of the Academic Award, that the work done by academic employees of research institutes is analogous or the same as that done by like academic employees of Universities*" at [8.3];

- (b) *"In the case of the General Staff Award, that the work done by professional, administrative, clerical, computing and technical staff in research institutes is analogous or the same as that done by like employees of Universities"* at [8.4];
- (c) *"The Higher Education—General Staff—Award 2010 already covers employers and employees in enterprises which are not higher education institutions because of the similarity of the work performed. For example, staff working in students unions"* at [54]; and
- (d) *"Employees working in these Institutes have been covered by awards (in the case of the General Staff Award, both state and federal) that also apply to higher education institutions"* at [8.5].

Modern awards objective

- 14. During the Transitional Review, AAMRI made jurisdictional objections to the NTEU's applications partially on the basis that the NTEU's applications were not necessary to achieve the modern awards objective.²
- 15. In meeting this objection, at [9.A] of its Final Submissions to the Transitional Review (4 June 2013) the NTEU claimed that:
 - (a) *"These Applications would ensure a 'fair and relevant minimum safety net of terms and conditions' for staff at research institutes. Currently there is no coherent safety net of Award conditions"* at [18];
 - (b) *"The granting of the Application would assist in meeting the Modern Awards Objective s. 134(1)(e) the principle of equal remuneration for work of equal or comparable value"* at [Attachment 1, A.2, 4th item in the "Supporting Argument" column];
 - (c) *"The granting of the Applications would assist in meeting the Modern Awards Objective s. 134(1)(g) 'the need to ensure a simple, easy to understand, stable and sustainable modern award system for Australia that avoids unnecessary overlap of modern awards'"* at [19]; and
 - (d) *"Employers and others are confused by the award coverage of research institute employees"* at [21].

² Transitional Review, AAMRI Final Submissions (4 July 2013) at [11] to [40].

16. During the Transitional Review, AAMRI also submitted that the NTEU Applications wouldn't meet the modern awards objective because the definition of "research institute" in the NTEU's applications was unclear and would likely raise a number of technical issues and anomalies if adopted.³ Similar submissions were made by a subset of the Group of Eight (**Group of Eight**) and the Australian Higher Education Industrial Association (**AHEIA**).⁴
17. At [9.B], the NTEU claimed in response that it considered that its definition sufficed.

SUBMISSIONS IN RESPONSE

Criteria for granting the NTEU Applications

18. AAMRI and APESMA refer to and repeat the legislative context of the Review set out at [14] to [21] of the AAMRI & APESMA Submissions in Support.
19. In *4 Yearly Review of Modern Awards: Preliminary Jurisdictional Issues* [2014] FWCFB 1788 (**Issues Decision**), the Commission made several general observations about the Review. It found that "*Previous Full Bench decisions should generally be followed, in the absence of cogent reasons for not doing so*". As such, the NTEU must provide cogent reasons for departing from the decision to not cover research institutes with the Higher Education Awards.
20. In order for the NTEU Applications to succeed, they must meet the following criteria:
 - (a) if the variations proposed would stop employers or employees being covered by another award, the Higher Education Awards must be appropriate for them (section 163(1)); and
 - (b) the variations proposed must be **necessary** to achieve the modern awards objective (sections 134(2) and 138 of the Act).

Summary of Submissions in Response

21. AAMRI and APESMA submit that:
 - (a) the coverage of the Higher Education Awards has previously been determined and the AIRC declined to include research institutes;

³ Transitional Review, AAMRI Submissions in Response (2 April 2013) at [51] to [53].

⁴ Transitional Review, Group of Eight Outline of Submissions (4 April 2013) at [4]; Transitional Review, AHEIA Submissions (3 April 2013) at [5].

- (b) in respect of employees of MRIs who may be covered by the Higher Education Awards if the NTEU Applications were successful (**affected MRI employees** and **affected MRIs**, respectively):⁵
- (i) the vast majority are covered by another modern award (and such award coverage would be clarified and strengthened by the AAMRI & APESMA Application);
 - (ii) it is appropriate for MRIs to be covered by occupational awards;
- (c) this occupational coverage should not be disturbed without justification, and none of the following factors justify common award coverage with higher education institutions:
- (i) any similarities in a subset of operations;
 - (ii) any similarities in work performed by a subset of employees;
 - (iii) any affiliations between some MRIs and universities;
 - (iv) collaborations between MRI and university researchers;
 - (v) the supervision of some research students by some MRI staff in their capacity as honorary or paid university co-supervisors; or
 - (vi) historical award coverage of MRIs.
- (d) the Higher Education Awards are not appropriate awards to cover the affected MRI employees, because the affected MRIs are clearly not in the higher education industry and do not meet the definition of higher education industry in the current Higher Education Awards. In any event:
- (i) their purpose is distinct from that of the current employers covered by the Higher Education Awards;
 - (ii) they are not recognised by government as part of the higher education sector and accordingly are not subject to the unique regulatory environment of higher education institutions;

⁵ Due to the wide and ambiguous phrasing of the NTEU's proposed definition of "research institute" in the NTEU Applications, it is not possible to say with certainty which MRIs (or other organisations, for that matter) would be covered if the NTEU Applications were successful.

- (iii) they are subject to drastically different, and comparatively disadvantageous, funding arrangements from those benefiting employers in the higher education sector;
 - (iv) they are recognised by the federal government as warranting a separate and distinct charitable taxation status;
 - (v) their diversity means that they do not comfortably fit in a defined industry award;
- (e) in the circumstances, the terms and classifications in the Higher Education Awards are not appropriate for many of the affected MRIs and their employees;
- (f) the NTEU Applications are not necessary to achieve, and hinder the achievement of, the modern awards objective, by:
- (i) having employees performing the same or similar work (eg professional researchers in MRIs and commercial organisations) covered by different awards without a cogent reason to do so, which departs from the principle of equal remuneration for work of equal or comparable value;
 - (ii) drastically varying existing award coverage, which severely impacts the stability of the modern awards system;
 - (iii) negatively impacting business productivity, employment costs and regulatory burden on the affected MRIs;
 - (iv) introducing coverage which is arbitrary, ambiguous and misconceived and will reduce the simplicity and ease of understanding the modern award system.

The coverage of MRIs by the Higher Education Awards has previously been determined

22. AAMRI and APESMA refer to and repeat AAMRI's submissions before the Transitional Review that:

- (a) it was contested before the Full Bench of the Australian Industrial Relations Commission (**AIRC**) in the award modernisation proceedings (**Award Modernisation**) that research institutes (such as MRIs) should be covered by the Higher Education Awards;⁶

⁶ Transitional Review, AAMRI Submissions in Response (2 April 2013) at [21] to [25].

- (b) the AIRC clearly declined to include research institutes in the coverage of the Higher Education Awards;⁷
 - (c) the failure of the AIRC to indicate certain considerations in its reasons does not indicate that they did not form part of the AIRC's decision.⁸
23. AAMRI and APESMA note DP Smith's comments regarding the Award Modernisation background to the Higher Education Awards at [9] to [11] of the Transitional Review Decision. With respect, DP Smith's comments did not address the AIRC's consideration of the coverage of research institutes in **Stage 3** of the Award Modernisation.
24. Further to the above, AAMRI and APESMA note the following evidence that coverage of research institutes was considered in the Award Modernisation:
- (a) in determining the scope of the Higher Education Awards to be considered in the Priority Stage of the Award Modernisation, the NTEU submitted that in addition to universities and their employees, the scope of the Higher Education Awards should include university-entities, research institutes and student associations (also referred to as student unions);⁹
 - (b) following discussions between the parties, it appears that a consent position was reached that "*in this **priority list** part of the process, that any award or awards made should focus on universities and should not extend to binding non-university employers, such as university controlled entities, research institutes...After the priority awards are made, in the **latter stages** of the award modernisation process the Commission can consider the **limits** of the **scope** of the higher education industry*" [Emphasis added];¹⁰
 - (c) the AIRC Full Bench determined that the priority stage of the Award Modernisation would "*focus on mainstream universities both public and private*", but provided for consideration of the coverage of other organisations at a later stage;¹¹

⁷ Transitional Review, AAMRI Submissions in Response (2 April 2013) at [26].

⁸ Transitional Review, AAMRI Final Submissions (4 July 2013) at [21] to [32].

⁹ Award Modernisation (AM2008/1), NTEU Submissions (28 March 2008) at [11] to [13].

¹⁰ Award Modernisation (AM2008/1), Group of Eight Submissions (1 August 2008) at [13] to [14].

¹¹ *Award Modernisation* [2008] AIRCFB 550 at [30]; see also comments in [2009] AIRCFB 450 at [63].

- (d) the NTEU submitted to the Priority Stage Full Bench considering the Higher Education Industry that it did not resile from its previous position on coverage of research institutes [that they ought to be covered by the Higher Education Awards];¹²
- (e) the NTEU made submissions to the Stage 3 Full Bench considering the Education Services (other than Higher Education) Industry regarding "*What Award should cover...Research institutes and other university-related entities*" (We note that AAMRI and APESMA reject the notion that the affected MRIs are "university-related entities" or "university-controlled entities"). These submissions addressed the coverage of student unions, research institutes and university-controlled entities and submitted that student unions and research institutes should be covered by the Higher Education Awards;¹³
- (f) in oral submissions:
- (i) in discussion about university-controlled entities the AIRC questioned the NTEU about "*the ones that are research institutes*";¹⁴
- (ii) the NTEU made submissions regarding the coverage of student unions, university-controlled entities and research institutes, and argued that the Higher Education Awards should cover student unions and research institutes, noting that "*the alternative would seem to me to be that they're going to be split up amongst about six different occupational awards...because the way things are heading we presumably have an award for professional scientists, and engineers. We have another award for clerical staff.*";¹⁵
- (iii) the Group of Eight submitted that "*Research and design is a part of almost every industry. Again, it's a question of extent. What we say in respect of the Higher Ed. Awards is that the Full Bench has defined the scope of that award by a definition of higher education. If a research institute satisfies the*

¹² Award Modernisation (AM2008/3), NTEU Submissions (1 August 2008)

¹³ Award Modernisation (AM2008/33) NTEU Submissions (6 March 2009) at pp 3 and 16.

¹⁴ Award Modernisation (AM2008/33), Transcript of 17 March 2009 at [PN263].

¹⁵ Award Modernisation (AM2008/33), Transcript of 17 March 2009 at [PN290].

definition then it will fall within the scope of that award. If it doesn't, then it won't".¹⁶ AHEIA made a similar submission.¹⁷

25. The AIRC set out its approach to any further coverage of the Higher Education Awards in Stage 3 of the award modernisation process. The Full Bench stated that:

[63] [Pre-reform a]wards in this sector also cover employees of **university unions, student unions and university controlled entities**. When the higher education awards were created in the priority stage of award modernisation we did not deal with the coverage of these areas but provided for them to be considered in this stage.

[64] We have decided that coverage of university unions and student unions can most appropriately be dealt with by amendment to the Higher Education Industry–General Staff–Award 2010 rather than by the creation of an award specific to those organisations. **In relation to non-teaching staff in university controlled entities generally, some may be covered by the draft Educational Services (Post-Secondary Education) Award 2010. Others will be covered by a classification in another industry award or in an occupational award.**¹⁸ [Emphasis added].

26. While this statement does not expressly refer to research institutes, the submissions from the NTEU regarding the coverage of research institutes had treated them in common with student unions and university-controlled entities as "university related entities". It is implicit from these circumstances that the Commission intentionally accepted the submissions of the Group of Eight and AHEIA and intentionally declined to include research institutes in the coverage of the Higher Education Awards.
27. This statement also demonstrates that the Commission was aware of, and accepted the likelihood that, "*non-teaching staff*" in university controlled entities, which are significantly more closely related to universities than the affected MRIs, would be covered by either another industry **or an occupational award**. There is nothing to indicate that they were not equally satisfied for the same arrangement to apply to research institutes.
28. The NTEU has provided no cogent reason for departing from this decision and there is no such cogent reason to do so.

¹⁶ Award Modernisation (AM2008/33), Transcript of 17 March 2009 at [PN512].

¹⁷ Award Modernisation (AM2008/33), Transcript of 17 March 2009 at [PN621].

¹⁸ *Award Modernisation* [2009] AIRCFB 450.

The vast majority of affected MRI employees are covered by modern awards

Existing occupational coverage

29. AAMRI and APESMA submit that the vast majority of affected MRI employees are covered by a modern award.
30. The largest group of affected MRI employees is medical researchers. The majority of these employees are clearly covered by the PEA as set out at [30] to [60] of the AAMRI & APESMA Submissions in Support. The other medical researchers will appropriately be covered by the PEA if the AAMRI & APESMA Application is successful.
31. Of the remaining affected MRI employees (those who do *not* primarily perform medical research duties which require a relevant bachelor's degree or Masters/PhD):
- (a) those performing clerical or administrative duties are covered by the *Clerks—Private Sector—Award 2010*;
 - (b) those who are health professionals within the meaning of clause 15 of the *Health Professionals and Support Services Award 2010*, and who do not primarily perform research duties, are covered by that award on the basis of its occupational coverage;
 - (c) those nurses who *principally* perform nursing duties are covered by the *Nurses Award 2010* on the basis of its occupational coverage (although we note that the NTEU Applications do not propose to cover such employees, which is conceptually inconsistent with an industry award which, during the award modernisation process, was purported to "*apply to everyone, from...professors to cleaners to trades people et cetera*";¹⁹ and
 - (d) those who are in building, maintenance, cleaning and security roles, as well as animal technicians, are covered by the *Miscellaneous Award 2010*,²⁰
- (collectively, the **occupational awards**).
32. AAMRI & APESMA refer to Appendix 1 to these submissions, which sets out the award coverage of the affected MRI employees in greater detail.

¹⁹ Award Modernisation (AM2008/33), Transcript of 17 March 2009 at [PN290].

²⁰ We note that an application as part of the Review was made for security staff to be covered occupationally by the *Security Services Industry Award 2010*, but a Full Bench determined that this was not necessary to achieve the modern awards objective, in [2015] FWCFB 620.

33. AAMRI & APESMA submit that the occupational coverage discussed above arises on the basis that these employees are performing the same or similar occupations as employees covered by the same awards in other sectors. This was anticipated by the NTEU in oral submissions in the Award Modernisation proceedings (see above at [24(f)(ii)]), and was endorsed by the AIRC Full Bench in relation to university-controlled entities.²¹
34. AAMRI & APESMA note the recent report commissioned by the Commission, "Multiple modern award coverage and the utility of majority clauses". In particular, we note the following concluding comment:

*Both employers and employees with some knowledge of the modern award system agreed that the **specified industry and occupational-based modern awards best reflected specific roles, requirements, training and professional development opportunities. To group the conditions and entitlements of all employees under the one award that covered the majority of employees at a business would reverse the perceived benefits of having separate modern awards, for the minimal gain of reduced administrative burden.***²² [Emphasis added].

35. AAMRI & APESMA similarly submit that the occupational modern awards best reflect the specific roles and requirements of employees in those occupations, and that the NTEU Applications do not establish any gain to be made in grouping these employees under the Higher Education Awards.

Diversity of MRIs makes occupational coverage appropriate

36. AAMRI and APESMA submit that it is appropriate to continue this occupational coverage, as it is able to reflect the nature of the work being performed by each particular affected MRI. As stated in the further witness statement of Douglas Hilton at [6] to [13], the affected MRIs have diverse operational focuses. In particular, there are varying levels of health service provision, public health activities, developmental aid activities and health policy activities linked with their research activities.
37. Examples of these operational differences referred to by Douglas Hilton include that:
- (a) Queensland Eye Institute provides a significant level of health services, whereas the Burnet Institute does not provide health services but does engage in a substantial amount of international health aid;

²¹ *Award Modernisation* [2009] AIRCFB 450.

²² EY Sweeney, "Fair Work Commission: Multiple modern award coverage and the utility of majority clauses" (May 2016) at p 40.

- (b) while the statement of David Trevaks refers to the Florey Institute's location on a university campus, the Murdoch Childrens Research Institute, Wesley Medical Research and the National Ageing Research Institute, among many others, are located on hospital sites (see Annexure **DH-1** to the further statement of Douglas Hilton);
- (c) while the statement of David Trevaks refers to the Florey Institute's integration with the University of Melbourne, Wesley Medical Research, for example, is located inside a hospital and utilises the hospital's payroll and IT platforms.

38. These distinct operational focuses, procedures and organisational structures result in distinct workforces and HR processes that vary between each affected MRI, so that it is appropriate for the applicable occupational awards to reflect the work of the relevant MRI employees at each MRI.

No justification to displace existing coverage

- 39. The NTEU has suggested that an argument must be presented so as to establish that the occupational awards appropriately describe the work and/or work value of the affected MRI employees.²³ Such a suggestion is unfounded and reverses the burden that must be satisfied in order for its Applications to be granted.
- 40. The Full Bench in the Issues Decision determined that the Review "*will proceed on the basis that prima facie the modern award being reviewed achieved the modern awards objective at the time it was made*".²⁴
- 41. AAMRI and APESMA have clearly set out how the operation of the occupational awards provides coverage to the affected MRI employees, above and at Appendix 1 to these submissions. The onus is on the NTEU to rebut the presumption established by the Issues Decision that this coverage does not achieve the modern awards objective.
- 42. Further, the NTEU Applications seek to displace the existing award coverage demonstrated above and would accordingly affect the minimum rates which apply to the affected MRI employees. Section 156 of the Act requires that the NTEU demonstrate work value reasons justifying the change to those minimum rates.

²³ Transitional Review, NTEU's Outline of Final Submissions (3 June 2013) at [111].

²⁴ Issues Decision at [23].

Research operations do not justify departure from existing coverage

43. The NTEU's submissions to the Transitional Review seem to argue that the work performed by MRIs is a subset of the work performed by universities.²⁵ However, the fact that both types of organisation perform research does not justify common award coverage.
44. The further witness statement of Douglas Hilton at [6] to [13] demonstrates that MRIs are not solely involved in research – depending on their distinct mission they may be involved in significant amounts of health service provision and public health activities. This is set out in these submissions at paragraphs [36] to [38].
45. The NTEU submissions do not sufficiently acknowledge these further activities. For instance, the witness statement of Peter Higgs at [6] asserts that MRIs "*are not themselves, except incidentally, involved in the provision of medical health or dental services*". However, as noted above, health service provision (or public health activities) are fundamental activities of a number of MRIs, such as the Lions Eye Institute, Queensland Eye Institute, Woolcock Institute of Medical Research, etc (see Annexure **DH-1** to the further statement of Douglas Hilton).
46. Further, Mr Higgs' witness statement omits to mention that his own employer, the Burnet Institute, is significantly involved in international health aid. This is set out in the witness statement of Brendan Crabb at [16] to [29].
47. Similarly, while universities are focused on the scholarly publication of research (see the further witness statement of Douglas Hilton at [20]), the witness statement of Debra O'Connor at [19] to [24] sets out the translational activities of NARI which go beyond this scholarly focus. In particular, it discusses the "grey literature" which is not measured by key university metrics.
48. The NTEU's witness statement of Roy Sneddon sets out at [6] that there are significant similarities between research institutes "*in the public sector, in hospitals and Universities*". It makes no claim that the affected MRIs are more similar to universities than they are to other organisations which engage in medical research. Douglas Hilton's initial statement at [36] to [40] demonstrates that, depending on a particular affected MRI's focus on commercialisation or health service delivery, research institutes may be much less similar to universities than they are to hospitals or commercial organisations.

²⁵ Transitional Review, NTEU's Outline of Final Submissions (3 June 2013) at [61].

No work value reason justifying departure from existing coverage

49. It is insufficient for the NTEU to demonstrate similarity between the work of a subset of the affected MRI employees and a subset of university employees. Section 156 requires that the NTEU demonstrate that the work value of the affected MRI employees is different from the other employees covered by the occupational awards.
50. The NTEU's final submissions to the Transitional Review in no way present cogent reasons for departing from the coverage of the occupational awards.
51. For instance, the NTEU contends that the affected MRI employees should not be covered by the *Clerks—Private Sector—Award 2010* "given the nature of the work". The NTEU does not give an indication of which aspect of the work's nature distinguishes it from the vast majority of Australian clerical employees who are covered by this award.
52. The NTEU's witness statement of Roy Sneddon, at [30], [32] and [43], states that clerical and administrative work in the affected research institutes and universities is specialised. While AAMRI and APESMA do not dispute the specialised nature of research management and governance, they submit that this position is not unique to universities and MRIs and is shared with other organisations undertaking research such as hospitals and government research agencies. We note that Roy Sneddon's witness statement refers to his performance of this role at a hospital-based institute, at [15]. Further, the NTEU has failed to adequately distinguish this from other specialised administrative and clerical workforces, identify how it says the generic descriptions in the General Staff Award are able to better capture this, or show that any other clerical employees ought not be covered by the *Clerks—Private Sector—Award 2010*.
53. The NTEU also argues the affected MRI employees should not be covered by the *Health Professionals and Support Services Award 2010* as this award covers employees who are providing a health service. The NTEU's submissions fail to address those health professionals employed by MRIs who provide health services in the course of, incidental to, or with no involvement in medical research, and do not identify how this is distinct from the provision of a health service by any other health professional working outside of the health industry who is covered by this award.
54. Finally, the NTEU argues that the affected MRI employees should not be covered by the *Professional Employees Award 2010* on the basis that "they are generally working as researchers". This argument is comprehensively rebutted in the AAMRI & APESMA Submissions in Support at [42] to [47].

55. The NTEU has asserted that the majority of research employees employed in Australia are employed by universities.²⁶ However, AAMRI and APESMA submit that the appropriate comparison is with employees engaged in **science** using the scientific method and those who support scientific work as elucidated in the Witness Statement of Dr Ross Smith, the immediate past president of the peak representative body for Australians working in science and technology, Science & Technology Australia (“STA”). At paragraph 6 of his Witness Statement Dr Smith states that “In my experience, the scientific method is utilised by professional scientists across many industries, disciplines and fields of inquiry.” Further in paragraph 8 he states further that “From my knowledge of medical researchers, via discussions with them about their daily lives, and including recruiting such a person and helping them to settle into an environmental position it is clear that the medical researchers undertaking work in the MRI sector are utilising the scientific method – they are doing science.” The NTEU's description improperly identifies the work performed by the affected MRI employees as equivalent in work value to all academic research, whether or not such research is scientific.
56. The majority of affected MRI employees (and 87.9% of MRI medical researchers) are scientists performing scientific work. The witness statement of Christopher Walton at [14] includes results from the Australian Bureau of Statistics showing that the university sector employs a small proportion of the total number of scientists in Australia.
57. The witness statement of Brendan Crabb at [22] acknowledges that the work of medical researchers is similar to **scientists** who are employed by universities and other institutions. However, it remains distinct from the work of other university academics, such as those who perform humanities research.
58. AAMRI and APESMA also refer to and repeat the submissions of AAMRI in the Transitional Review that the work of MRI researchers is distinct from researchers at universities, in that it is more closely aligned to the health system, and different metrics are used which do not place as much emphasis on academic publications. This is supported by the further witness statement of Douglas Hilton at [17] to [22].
59. The NTEU's evidence, in the witness statement of Roy Sneddon at [29] and [32], is that research employees and employees supporting researchers, across medical research institutes, hospitals and universities, have the same skill base and perform the same work. However, in spite of this, the NTEU are not claiming that medical researchers and

²⁶ Transitional Review, NTEU's Final Submissions (4 July 2013) at [16].

employees who support research in hospitals ought to be covered by the Higher Education Awards.

60. On the basis of the above, it is clear that the majority of employees performing similar work to the affected MRI employees are **not** covered by the Higher Education Awards. The coverage of a small proportion of similar employees by those awards does not justify covering the affected MRI employees with such awards. Even if were accepted that the work of MRI researchers was identical to university researchers, such evidence would be relevant if the Higher Education Awards were occupational in nature. As the Higher Education Awards are industry awards, it has no bearing, because the affected MRI's remain outside the higher education industry.
61. The work of medical researchers and the staff supporting medical research in the affected MRIs is similar to the work performed by medical researchers and staff supporting medical research in hospitals, government research facilities and commercial research facilities. The fact that it also shares similarities to the work of **some** researchers and support staff employed in universities is accordingly an insufficient basis for common award coverage.

Affiliations do not justify departure from existing coverage

62. AAMRI and APESMA submit that the fact that MRIs have affiliation agreements with certain universities does not make it appropriate, necessary or meaningful for MRIs to be covered by the same awards as universities. Many MRIs are also affiliated with hospitals, and in many cases, these affiliations are 'stronger', as they are directly related to the purpose of the MRI's research.
63. Similarly, it would be absurd to suggest that all organisations which have affiliations with a university ought to be covered by the Higher Education Awards. Many hospitals and other external bodies are also affiliated with universities without any suggestion that they should come under the Higher Education Awards. The Annexure **DH-2** to the further witness statement of Douglas Hilton includes a list of the vast array of organisations with which just one university, the University of Melbourne, has affiliations. In particular, AAMRI and APESMA note that the University of Melbourne is affiliated with many hospitals and government organisations such as Austin Health, Melbourne Health and the Commonwealth Scientific and Industrial Research Organisation. Similarly, the witness statement of Brendan Crabb at [36] sets out that Monash University has affiliations and research partnerships with commercial research organisations such as GlaxoSmithKline.

Instances of collaboration do not justify departure from existing coverage

64. The NTEU's witness statement of Peter Higgs refers to the way in which researchers from universities and the affected MRIs work together collaboratively, at [19]. The example given involves universities, affected MRIs and multiple drug and alcohol centres teaming up to conduct research. There is no suggestion that these drug and alcohol centres collaborating with the universities and affected MRIs should be covered by the Higher Education Awards.
65. The witness statement of Roy Sneddon at [17] refers to how research conducted by the Hanson Institute was mostly conducted in collaboration with unnamed universities. This in fact demonstrates that research institutes as defined in the NTEU Applications are not unique in their research collaborations with universities, as the Hanson Institute is the research division of SA Pathology and the Royal Adelaide Hospital, which are state government statutory entities. It is not an independent MRI.
66. It is incorrect to suggest that there is a preference for MRI researchers to conduct research in collaboration with university researchers. The statement of Debra O'Connor at [34] to [37] gives evidence that MRIs conduct research in collaboration with whomever has the expertise that a project might need. This may involve research teams from hospitals, universities, commercial organisations or not for profits either in Australia or overseas, as demonstrated by the Melbourne Ageing Research Collaboration (**MARC**) to which Ms O'Connor's statement refers.
67. Collaborative research is by no means unique to MRIs and universities, and research collaborations occur between researchers at universities, MRIs, hospitals, government, commercial organisations and not-for-profit organisations, both within Australia and internationally.
68. Each of these organisations has employees conducting or supporting research, and by the NTEU's reasoning, ought to be covered by the Higher Education Awards as well.

Supervision of research students does not justify departure from existing coverage

69. The NTEU has referred at length to MRIs engaging in "education".²⁷ The witness statement of Debra O'Connor at [25] acknowledges that MRI employees engage in "education" to the extent that they supervise Masters by research and PhD research students (collectively referred to as Research Higher Degree students or **RHD students**) and Honours research

²⁷ Transitional Review, NTEU's Final Submissions (4 July 2013) at [61] to [63].

students, but in their capacities as appointees or honorary appointees of relevant higher education institutions.

70. In the supervision of RHD and Honours students, there is a distinction between teaching them for the purpose of conferring a degree, and the supervision of their medical research. This is recognised by the requirement of universities that either:
- (a) the RHD/Honours student have a co-supervisor employed by the university; or
 - (b) the MRI researcher have an honorary or co-appointment with the university.
71. We note that at some affected MRIs, such as NARI, a relatively small proportion of research employees supervise RHD or Honours students (see Debra O'Connor's witness statement at [25]). Contrary to the evidence of Roy Sneddon at [36], it is not the case that only very early career researchers do not have an adjunct affiliation with a university (see Douglas Hilton's further witness statement at [28]).
72. To the extent that MRI researchers have a co-appointment with the university, any "education" activities fall within the duties of their honorary or co-appointment. For example, the witness statement of Brendan Crabb at [31] states that it would be unlikely that an MRI would actively encourage, or pay, their research employees to engage in the lecturing activities performed by Peter Higgs (referred to at [15] to [16] of his witness statement).
73. Douglas Hilton indicates at [29] of his further witness statement that this is no different from staff in other affiliates of the university supervising PhD and Masters by research students.
74. The Final Submissions of the NTEU to the Transitional Review clearly attempt to conflate these activities of the affected MRI employees with teaching leading to the conferring of accredited degrees. Contrary to the implications of those submissions, the affected MRIs are **not** in the business of education.
75. The initial witness statement of Douglas Hilton at [25] makes it clear that the affected MRIs allow for the training and supervision of RHD students in order to further the affected MRIs' activities of conducting research directed at improving the cure, treatment, diagnosis and prevention of disease. Research students are important resources who assist the affected MRIs to achieve their purpose – they are considered as medical researchers in training, and work side-by-side with affected MRI employees.

Historical award coverage was generally unrelated to higher education

76. The NTEU has sought to rely on the fact that a minority of the affected MRIs were subject to pre-reform awards which provided for similar classifications to those found in the Higher Education Awards.
77. AAMRI and APESMA submit that the historical coverage of pre-reform awards may be relevant to the interpretation of modern awards; however, it is not relevant where there has been a clear determination not to reflect that historical coverage. As submitted at 22 to 28 of these submissions, the AIRC in the Award Modernisation proceedings clearly determined to not cover any of these affected MRIs with the Higher Education Awards.

Higher Education Awards are not appropriate to the circumstances of MRIs

78. In the alternative, if the Commission determines to depart from the AIRC's finding that occupational coverage achieves the modern award objective, AAMRI and APESMA submit that the affected MRIs are clearly not in the higher education industry and that it is inappropriate for them to be covered by the Higher Education Awards.
79. During the award modernisation process, the AIRC gave some guidance regarding the appropriate boundaries of industry awards. In particular, the Full Bench of the AIRC noted that:

*We have received many detailed submissions concerning not only the appropriate boundaries between industries but also the appropriate boundaries between industries and occupations in relation to which modern awards might be made. Concerns have been expressed about maintaining existing union demarcations and respecting the historical boundaries between industries based not only on union demarcations but also on other factors such as the **regulatory environment, training and qualifications and the peculiar circumstances of the enterprises in the industry**. All of these issues will have to be worked through as part of the process. [Emphasis added].²⁸*

80. This demonstrates that it is relevant to compare and contrast the regulatory environment and peculiar circumstances of MRIs with higher education institutions in order to determine the appropriate boundaries of the Higher Education Awards. For this reason, AAMRI and APESMA submit that the following considerations are relevant.

²⁸ *Re Request from the Minister for Employment and Industrial Relations — 28 March 2008 (Award Modernisation Case (2008))* [2008] AIRCFB 550.

The distinct purpose of MRIs when compared with other organisations

81. AAMRI and APESMA submit that the affected MRIs do not share the primary focus of employers currently covered by the Higher Education Awards, and that this supports our contention that they should not be covered by those awards.
82. It has been clearly and repeatedly established in this matter and the Transitional Review that the primary purpose of MRIs is to further the cure, treatment, diagnosis and prevention of disease (see the initial witness statement of Douglas Hilton at [28]).
83. It is clear from the definition of the "higher education industry" in the Higher Education Awards that the activities of participants in that industry are primarily directed at **students**. They provide teaching to **students**, leading to the conferral of accredited degrees on **students**, and perform research to support and inform the curriculum taught to **students**.
84. It is therefore unremarkable that the only other employers covered by the award are university unions and student unions, defined as associations of **students**, established primarily or exclusively for the purpose of providing representation or services to **students**.
85. As set out in AAMRI's Final Submissions to the Transitional Review at [84], the affected MRIs differ from student unions in that the existence of student unions is dependent on the students who attend universities. In contrast, while postgraduate students are significant to the operations of many of the affected MRIs, they are not necessary. It was also noted that unlike student unions, many affected MRIs are located on hospital sites.

The unique regulatory environment of higher education institutions compared with MRIs

86. MRIs are subject to a regulatory environment that is clearly distinct from that which applies to higher education institutions. AAMRI and APESMA submit that it would be inappropriate for the Commission to apply the terms and conditions of the Higher Education Awards outside of that unique regulatory environment.
87. Universities are subject to uniform regulation through the *Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act)*, which appropriately focuses on regulating the primary function of universities, the conferral of degrees (or "regulated higher education awards"). In contrast, there is no uniform MRI regulation, save for their reporting requirement to the Australian Charities and Not-for-profits Commission as charities (see the further witness statement of Douglas Hilton at [32]).
88. The further witness statement of Douglas Hilton at also contrasts the reporting and oversight regime applicable to universities with that of MRIs, even in respect of their

research activities. He states that universities are required to report a range of information to government, including on its research staff and students and research outputs, whereas MRIs have no such obligations. Further, universities are overseen by the Department of Education and Training, whereas MRIs are not recognised as higher education institutions are overseen by the Department of Health.

The disparate funding arrangements between universities and MRIs:

89. AAMRI and APESMA refer to and repeat AAMRI's Final Submissions to the Transitional Review at [62] that there is significant disparity between the funding available to universities and the funding available to the affected MRIs.
90. The current funding arrangements applicable to MRIs are set out in Douglas Hilton's further witness statement at [35] to [48]. These include that:
 - (a) universities are eligible for Research Block Grant Funding from the Commonwealth Department of Education and Training (approximately \$1.8 billion per year) to cover the costs of research overheads and RHD students, which MRIs are ineligible to receive directly;
 - (b) universities are also eligible for the Commonwealth Grant Scheme in respect of bachelor level courses, which MRIs are unable to access;
 - (c) MRIs, hospitals, not for profits and universities are eligible to register with the National Health and Medical Research Council (**NHMRC**) as administering institutions for NHMRC research grants and fellowships;
 - (d) MRIs are eligible for funding for operational overheads associated with grants from the NHMRC through the IRIIS scheme, for which **only** independent MRIs are eligible;
 - (e) MRIs in most states are eligible for funding through state government schemes to partially compensate MRIs for research overhead costs, which universities ordinarily cannot access.
91. This evidence is supported by the NTEU's witness statement of Peter Higgs at [19]. However, Mr Higgs' statement demonstrates that he has inaccurately stated the capacity for the affected MRIs to access Australian Research Council (**ARC**) grants. The further witness statement of Douglas Hilton at [46] corrects this, and explains that:
 - (a) MRIs are only able to be a "partner organisation" on such grants, which must be administered by a university; and

(b) consequently, such grants are **not** ordinarily able to be transferred between universities and the affected MRIs, for example, should a researcher move from one institution to another.

92. To the extent that NHMRC grants may be transferred between administering institutions, this is not unique to MRIs and universities, as hospitals and not for profits are also eligible to be administering institutions.
93. These funding arrangements demonstrate a clear demarcation in the Commonwealth and State government's treatment of universities and MRIs, with both able to access funding not available to the other. The further witness statement of Douglas Hilton sets out that the different schemes available to each type of organisation typically results in a clear financial advantage for university recipients.
94. As outlined in Transitional Review²⁹ MRIs do not have access to the student fees and stable Government funding, which universities use to fund research. In general, independent MRIs are much more reliant on non-recurrent funding or variable commercial/philanthropic funding.

The unique taxation treatment of MRIs when compared to universities.

95. Similarly, the further witness statement of Douglas Hilton at [49] to [50] sets out how the tax status available to the affected MRIs mean that they are able to compensate affected MRI employees in ways distinct from those available to universities.
96. This evidence is supported by the NTEU's witness statement of Peter Higgs at [22], which sets out that one of the key attractions to working in an MRI is the salary packaging arrangements staff can enter into as a result of this concessional tax status.
97. The resources available to employers, and the ways in which employees can be compensated, are clearly peculiar circumstances of the enterprises of affected MRIs, and accordingly relevant to the boundaries of the Higher Education Awards.

The diverse nature of MRIs compared with the university sector;

98. Universities are appropriately captured within the same industry award, as they are predominantly similar to each other in terms of their purpose, operations, regulation, funding and tax treatment.

²⁹ Transitional Review, AAMRI's Final submissions (18 June 2013) at [64].

99. In contrast to the fairly homogenous higher education industry, the affected MRIs are incredibly diverse in their missions, primary funding sources, regulation, operations and activities outside of research, and no Act regulates them as a unique industry or sector.
100. It is accordingly inappropriate for the affected MRIs to be covered by a single industry award in respect of all the affected MRI employees.

The terms and classifications of the Higher Education Awards are inappropriate

101. AAMRI and APESMA refer to and repeat AAMRI's concerns during the Transitional Review that the terms of the Higher Education Awards provide for onerous obligations that would be inappropriate if they were applied to the affected MRIs.³⁰
102. We note DP Smith's comment at [45] that if the Higher Education Awards were varied so as to apply to the affected MRIs, "*the provisions of the fixed-term clause would not apply*" on the basis of the limitation of the operation of that clause to employers bound by the *Higher Education Contract of Employment Award 1998 (HECE Award)*.
103. However, if the affected MRIs were to be subject to the Higher Education Awards, the application of these provisions, as well as the development of new terms and conditions, could be necessary to the higher education industry while being inappropriate to MRIs. As set out in these submissions, MRIs experience systemic issues such as a funding model which brings with it a large degree of uncertainty, which AAMRI and APESMA are working cooperatively to address,
104. We note that the median number of employees employed by those affected MRIs who are members of AAMRI is 139. In comparison, the median of full time equivalent employees in Australian universities is 2611 – approximately 19 times as many employees. If covered by the same award, the diverse concerns of the relatively small MRIs are unlikely to be accorded much weight when compared with the block interests of large universities and their numerous employees.
105. The NTEU relies on the terms of enterprise agreements covering the affected MRIs (**affected MRI enterprise agreements**) which it claims reflect the terms of the Higher Education Awards. However, while some of these enterprise agreements contain similar classification structures, their terms often depart from those in the Higher Education Awards. For instance:

³⁰ Transitional Review, AAMRI's Final submissions (18 June 2013) at [100] to [103].

- (a) the notice periods in the affected MRI enterprise agreements reflect the needs of the enterprises and are different to what is contained in the Academic Award, which requires 6 months' notice in the case of termination on the grounds of ill-health or redundancy.³¹ These include each of the enterprise agreements referred to in the NTEU's submissions to the Transitional Review.³²
- (b) the Academic Award provides for clinical, loadings for medically qualified employees in medical or dental schools (at clause 18.3). Such loadings do not appear in the affected MRI enterprise agreements, and the further witness statement of Douglas Hilton at [52] demonstrates that the terms by which these loadings are provided – i.e. for those medically qualified employees in "medical or dental schools" – are not relevant to the affected MRIs because they are neither a medical school nor a dental school.

106. Notwithstanding the fact that the abovementioned provisions are not contained in enterprise agreements they would apply to the affected MRIs by default if the NTEU Applications were successful. AAMRI and APESMA submit that it would be inappropriate for such terms to form the safety net of minimum terms and conditions for the affected MRIs and their employees, as they have been specifically developed for the unique circumstances of the higher education industry.
107. Further, in some instances the application of the Higher Education Awards would deprive employees of terms which are appropriate to their occupation and accordingly provided by the relevant occupational award. These terms include that:
- (a) all affected MRI employees who are medical researchers covered by the PEA are entitled to 1 month's notice of termination regardless of their length of service (at clause 12), which is greater than the NES entitlement provided for by the Academic Award (at clause 15.1);
 - (b) all affected MRI employees who are health professionals are entitled to allowances that recognise the type of work they perform, eg blood check allowance, damaged clothing allowance, heat allowance, nauseous work allowance, and on call allowance (at clause 18) which would not apply under the General Staff Award.

³¹ See the *Ludwig Institute for Cancer Research Workplace Agreement 2011* at clauses 14, 16 and 17; the *Baker IDI Heart & Diabetes Institute Enterprise Agreement 2014* at clause 17; the *National Ageing Research Institute Ltd 2012* at clauses 28 and 29; the *Hudson Institute of Medical Research Enterprise Agreement 2015* at clauses 19 and 20; the *Howard Florey Institute Union Enterprise Agreement 2014-2017* at clause 23 and 24.

³² Transitional Review, NTEU's Outline Final submissions (3 June 2013) at [79], [82], [83] and [84].

108. AAMRI and APESMA submit that the classifications in the Academic Award are too restrictive to capture the broad range of work undertaken by the affected MRI employees.
109. In particular, the further witness statement of Douglas Hilton at [53] states the classifications for research academics at Schedule A.2 of the Academic Award (which the NTEU intends to apply to medical researchers) are limited in their terms. He states that 'scholarly activities' is an inappropriate description of much of the medical research undertaken as the primary duty of research staff at the affected MRIs. The classifications in the Academic Award say "research/scholarly activities" in the first sentence and yet do not mention research again, and that focus on scholarly publication ignores other significant aspects of medical researchers' responsibilities.
110. AAMRI and APESMA repeat their submissions in the AAMRI & APESMA Submissions in Support:
- (a) at [55] to [60], that the work of medical researchers in the affected MRIs is reflected in the general classifications in Schedule B of the PEA; and
 - (b) at [70], that the classification descriptions in the proposed Schedule C more specifically deal with the particular work performed by medical researchers in the affected MRIs.
111. Further, the Witness Statement of Dr Ross Smith provides additional clarity as to the appropriateness of coverage by the PEA. At paragraph 9 he states that he “[has] used and implemented this award within the workplaces of my company within Australia and believe that research work fits within the award’s classification structure.”
112. AAMRI and APESMA further submit that the classifications in the Academic Award are far less appropriate to medical researchers in the affected MRIs than either Schedule B or the proposed Schedule C of the PEA.

Modern awards objective

113. AAMRI and APESMA submit that the NTEU Applications are unnecessary to achieve the modern awards objective. Further, they will in some respects hinder the achievement of that objective.

Departs from the principle of equal remuneration for work of equal or comparable value

114. It is contrary to the principle of equal remuneration for work of equal or comparable value (section 134(e) of the Act) for employees in the same occupation to not receive the same minimum entitlements.

115. AAMRI & APESMA refer to [29] to [33] of these submissions which demonstrate that the NTEU Applications would provide that the affected MRI employees would not have the same minimum entitlements as others in their occupation.
116. There is no basis, industrial or otherwise, for the NTEU to insist on pay disparity in these clerical, health professional and scientific occupations.

Impacts the stability of the modern awards system

117. The Commission must consider the need to ensure a stable modern award system for Australia (section 134(g) of the Act).
118. AAMRI and APESMA refer to the AAMRI & APESMA Submissions in Support at [87] to [93] where it was demonstrated that the Commission is compelled to adopt whichever proposed variation is necessary to achieve the modern awards system.
119. Higher education institutions have been part of the same recognised industry for decades. It would cause significant disruption to the existing modern awards system to substantially alter the boundaries of a longstanding industry in the manner proposed, particularly on the basis of such arbitrary and unclear proposed coverage.
120. To the extent that award variation is necessary to achieve the modern awards objective, AAMRI and APESMA submit that the NTEU Applications are inimical to the modern awards objective, and that the AAMRI & APESMA Application ought to be granted in preference to the NTEU Applications.

Negatively impact business productivity etc

121. The Commission must consider the impact on the business productivity, employment costs and regulatory burden on the affected MRI employers (section 134(f) of the Act).
122. AAMRI and APESMA refer to and repeat AAMRI's submissions to the Transitional Review that MRIs will be required to review and fundamentally change their employment arrangements with employees that are currently covered by occupational awards in order to render their terms and conditions of employment consistent with the Higher Education Awards.³³
123. We note that the NTEU has not made any submissions or provided any evidence around what changes to minimum rates of pay would be imposed on the affected MRIs if the NTEU

³³ Transitional Review, AAMRI Submissions in Response (2 April 2013) at [13.2].

Applications were successful. For the vast majority of affected MRIs, there would also be further costs in determining the appropriate classifications for the affected MRI employees, changing their HR systems and re-issuing contracts so as to apply the terms of the Higher Education Awards.

124. In addition, there are clear costs that the affected MRIs would suffer as a result. In particular, these submissions have pointed to the real potential for limitations to fixed term contracts and the excessive provisions relating to notice of termination for ill health or redundancy, at 101 to 106. These provisions, and the resulting disruption to existing employment arrangements, would impose employment costs and additional regulatory burden on the affected MRIs.
125. Further, the disruption to the current underlying award coverage could also disrupt the affected MRI enterprise agreements were the Higher Education Awards to become the relevant benchmark when the Commission assesses the better off overall test.

Introduces coverage which is ambiguous, arbitrary and misconceived

126. The Commission must consider the need to ensure an easy to understand modern awards system (section 134(e) of the Act).
127. AAMRI and APESMA refer to and repeat AAMRI's Final Submissions to the Transitional Review at [43] to [47] that, if the NTEU's Applications were successful, the coverage clause proposed would be arbitrary and difficult to interpret. The part of the proposed definition of a research institute that reads "*which is affiliated to a university, or where persons are employed who hold academic titles conferred by a higher education institution*" remains difficult to interpret without a reasonable foundation for the criteria it imposes. These concerns were shared by AHEIA and the Group of Eight in their submissions to the Transitional Review.³⁴
128. It seems that this poorly constructed definition arises from the misconception of MRIs by the witnesses who have given statements in support of the NTEU Applications. In particular, we note that:
- (a) Roy Sneddon discusses experience of research institutes "*in the public sector, in hospitals and universities*", at [7] of his witness statement. Independent MRIs, and those research institutes which would fall in the NTEU's definition, are not in the

³⁴ Transitional Review, Group of Eight Outline of Submissions (4 April 2013) at [4]; Transitional Review, AHEIA Submissions (3 April 2013) at [4] to [5].

public sector and are distinct from hospitals and universities, and so it appears that Mr Sneddon has no experience of independent MRIs. Mr Sneddon also outlines characteristics of the Hanson Institute, apparently under the misunderstanding that it is an independent MRI, which it is not (see for example [13] to [14], [17]-[18], [35] to [36]);

- (b) David Trevaks is similarly unclear on what falls within the NTEU's definition of a research institute or an MRI, when he refers at [14] of his witness statement to the Peter Doherty Institute (which is a university-based institute and not an independent MRI) and Peter MacCallum Cancer Centre (which is a hospital).

Association of Australian Medical Research Institutes

Association for Professional Engineers, Scientists and Managers, Australia

Appendix 1 – Coverage and scope of awards applicable to employees of MRIs

Award	Types of MRI employees covered	Coverage and scope of award
<p><i>Clerks—Private Sector Award 2010</i></p>	<p>Clerical and administrative employees</p>	<p>Clause 4</p> <p><i>4.1 This award covers employers in the private sector throughout Australia with respect to their employees engaged wholly or principally in clerical work, including administrative duties of a clerical nature, and to those employees. However, the award does not cover:</i></p> <p><i>(a) an employer bound by a modern award that contains clerical classifications; or</i></p> <p><i>(b) an employee excluded from award coverage by the Act.</i></p> <p>Clause 3</p> <p><i>clerical work</i> includes recording, typing, calculating, invoicing, billing, charging, checking, receiving and answering calls, cash handling, operating a telephone switchboard and attending a reception desk</p>
<p>Health Professionals and Support Services Award 2010</p>	<p>Aboriginal health worker Biomedical engineer/technologist Cardiac technologist Clinical optometrist Clinical psychologist Community development worker Genetic counsellor Health information manager Health statistician International health and</p>	<p>Clause 4</p> <p>4.1 This industry and occupational award covers:</p> <p>(a) employers throughout Australia in the health industry and their employees in the classifications listed in clauses 14—Minimum weekly wages for Support Services employees and 15—Minimum weekly wages for Health Professional employees to the exclusion of any other modern award;</p> <p>(b) employers engaging a health professional employee falling within the classification listed in clause 15. [Emphasis added]</p> <p>Clause 15. Minimum weekly wages for Health Professional employees</p>

	<p>development professional</p> <p>Medical laboratory technician / technologist</p> <p>Medical scientist</p> <p>Occupational therapist</p> <p>Orthopist</p> <p>Physiotherapist</p> <p>Radiation therapy technologist</p> <p>Research technologist</p> <p>Social worker</p> <p>Speech therapist</p> <p>Technical officer</p>	<p>Schedule B – Classification Definitions</p> <p>A list of common health professionals which are covered by the definitions is contained in Schedule C—List of Common Health Professionals.</p> <p>Schedule C – List of Common Health Professionals</p> <p><i>Acupuncturist</i></p> <p><i>Aromatherapist</i></p> <p><i>Art Therapist</i></p> <p><i>Audiologist</i></p> <p><i>Biomedical Engineer</i></p> <p><i>Biomedical Technologist</i></p> <p><i>Cardiac Technologist</i></p> <p><i>Child Psychotherapist</i></p> <p><i>Chiropractor</i></p> <p><i>Client Advisor/Rehabilitation Consultant</i></p> <p><i>Clinical Perfusionist</i></p> <p><i>Community Development Worker</i></p> <p><i>Counsellor</i></p> <p><i>Dental Therapist</i></p> <p><i>Dietician</i></p> <p><i>Diversional Therapist</i></p> <p><i>Exercise Physiologist</i></p> <p><i>Genetics Counsellor</i></p>
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		<i>Health Information Manager</i> <i>Homeopathist</i> <i>Masseur, Remedial</i> <i>Medical Imaging Technologist (MIT)</i> <i>Medical Laboratory Technician</i> <i>Medical Librarian</i> <i>Medical Photographer/Illustrator</i> <i>Medical Record Administrator</i> <i>Medical Technician/Renal Dialysis Technician</i> <i>Musculoskeletal Therapist</i> <i>Music Therapist</i> <i>Myotherapist</i> <i>Naturopathist</i> <i>Nuclear Medicine Technologist (NMT)</i> <i>Occupational Therapist</i> <i>Orthoptist</i> <i>Osteopath</i> <i>Pastoral Carer</i> <i>Pharmacist</i> <i>Physiotherapist</i> <i>Play Therapist</i> <i>Podiatrist</i> <i>Prosthetist/Orthotist</i> <i>Psychologist</i> <i>Radiation Therapy Technologist (RTT)</i>
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			<p><i>Recreation Therapist</i></p> <p><i>Reflexologist</i></p> <p><i>Research Technologist</i></p> <p><i>Medical Scientist</i></p> <p><i>Social Worker</i></p> <p><i>Sonographer</i></p> <p><i>Speech Pathologist</i></p> <p><i>Welfare Worker</i></p> <p><i>Youth Worker</i></p>
<p><i>Professional Employees Award 2010</i></p>	<p>Currently</p>	<p>Researchers with scientific degrees</p> <p>Other scientists (eg statisticians, neuroscientists, whose positions require a science degree)</p>	<p>Clause 4</p> <p><i>4.1 This award covers employers throughout Australia with respect to their employees performing professional engineering and professional scientific duties who are covered by the classifications in Schedule B—Classification Structure and Definitions of the award and those employees.</i></p> <p>Clause 3</p> <p><i>professional scientific duties</i> means duties carried out by a person in any particular employment, the adequate discharge of any portion of which duties requires academic qualifications of the employee as specified in the academic schedule below:</p> <p>Academic schedule</p> <p>(a) A degree in science from an Australian, New Zealand or United Kingdom university or from an Australian tertiary educational institution.</p> <p>(b) Academic qualifications acceptable to the Royal Australian Chemical Institute for admission to the grade of corporate membership.</p> <p>(c) Academic qualifications acceptable to The Australian Institute of Physics for admission to the grades of graduate membership or corporate membership.</p>

			<p>(d) <i>Academic qualifications in metallurgy, metallurgical engineering or technology acceptable to either the Australasian Institute of Mining and Metallurgy for admission to the grade of junior or corporate membership, or the Institution of Metallurgists (London) for admission to the grades of graduate or associate membership.</i></p> <p>(e) <i>Academic qualifications acceptable to the Australian Institute of Agricultural Science for admission to the grade of corporate membership.</i></p> <p>(f) <i>Academic qualifications acceptable to the Australian Institute of Food Science and Technology for admission to the grades of graduate or corporate membership.</i></p> <p>(g) <i>Academic qualifications acceptable to a pharmacy board or council within the Commonwealth of Australia provided that the award will not apply to pharmacists employed in a retail pharmacy shop.</i></p>
	If AAMRI & APESMA Application is successful	All researchers	<p>Clause 4</p> <p><i>4.3 This award covers medical research institutes with respect to their employees performing professional medical research duties who are covered by the classifications in Schedule C—Medical Research Institutes and those employees.</i></p> <p>Clause 3</p> <p><i>professional medical research duties means research duties carried out by a person in a medical research institute the adequate discharge of any portion of which duties requires a person to hold a university degree (three, four or five year course).</i></p>
Nurses Award 2010		Nurses who are principally engaged in nursing duties	<p>Clause 4</p> <p><i>4.1 This occupational award covers:</i></p> <p><i>(a) employers throughout Australia in the health industry and their employees in the classifications listed in Schedule B—Classification Definitions to the exclusion of any other modern award; and</i></p> <p><i>(b) employers who employ a nurse/midwife, principally engaged in</i></p>

		<i>nursing/midwifery duties comprehended by the classifications listed in Schedule B—Classification Definitions.</i> [Emphasis added]
<i>Miscellaneous Award 2010</i>	Animal technician/care attendant Building and maintenance staff Cleaning staff Security staff	<p>Clause 4</p> <p>4.1 Subject to clauses 4.2, 4.3, 4.4, 4.5 and 4.6 this award covers employers throughout Australia and their employees in the classifications listed in clause 14—Minimum wages who are not covered by any other modern award.</p> <p>4.2 The award does not cover those classes of employees who, because of the nature or seniority of their role, have not traditionally been covered by awards including managerial employees and professional employees such as accountants and finance, marketing, legal, human resources, public relations and information technology specialists.</p>

**IN THE FAIR WORK COMMISSION
4 YEARLY REVIEW OF MODERN AWARDS
AWARD STAGE – GROUPS 3 AND 4**

Matter Nos: AM2014/281 (*Professional Employees Award 2010*)
AM2015/6 (Education Group)

Respondents: The Association of Australian Medical Research Institutes (**AAMRI**) and the Association for Professional Engineers, Scientists and Managers, Australia (**APESMA**)

WITNESS STATEMENT OF PROFESSOR BRENDAN CRABB AC

I, **BRENDAN CRABB**, of 85 Commercial Road, Melbourne, Victoria 3000, **STATE** as follows:

1. I make this statement on my own behalf and, where relevant, in my capacity as Director and CEO of the Burnet Institute (**Burnet**).
2. I am authorised to make this statement on behalf of Burnet I make this statement from my own knowledge unless I indicate otherwise. Where I have received information from a third party, I believe that information to be true unless I state otherwise.

My background

3. I am a molecular biologist by training. In this regard, I hold a Bachelor of Science (Honours) from the University of Melbourne, and a PhD from the University of Melbourne.
4. I have been the Director and Chief Executive Officer of the Burnet Institute since 2008. Prior to holding this position, I held the following positions:

2001 – 2008	Laboratory Head, The Walter and Eliza Hall Institute of Medical Research
2007 – 2008	NHMRC Senior Principal Research Fellow
2004 – 2007	NHMRC Principal Research Fellow
2000 – 2008	International Scholar, Howard Hughes Medical Institute, USA
1999 – 2000	Senior Lecturer, Department of Microbiology and Immunology, University of Melbourne
1996 – 1998	Lecturer, Department of Microbiology and Immunology, University of Melbourne

5. In 2015 I was awarded a Companion of the Order of Australia for contributions to medical research and global health.
6. I was President of AAMRI between 2012 and 2014, and have been the Chair of the Victorian Chapter of AAMRI since 2014.
7. My full curriculum vitae is annexed to this Statement as **Annexure BC-1**.
8. In my current and former roles, I have had experience working with medical research institutes (**MRIs**), hospitals and universities.

Background of Burnet

9. In 1986, Burnet was founded as an independent Institute.
10. Burnet is an independent MRI conducting medical research and public health programs, with expertise in specific infectious diseases of global health significance such as HIV and AIDS, hepatitis viruses, influenza, malaria, tuberculosis and emerging infectious diseases.
11. Burnet was registered as a company limited by guarantee in 1989. It is also a Health Promotion Charity registered with the Australian Charities and Not-for-profits Commission (ACNC).
12. The Burnet is a company limited by guarantee and governed by a Board of Directors, a majority of whom are drawn from the corporate world. This governance structure provides the Burnet with its entrepreneurial focus on improving health outcomes through the development of products and changes to policy.
13. Burnet is based in Melbourne, but also has offices and representatives in Myanmar, Papua New Guinea, China, and Lao PDR, as well as being involved in various research and project activities in other AsiaPacific and African countries.
14. Burnet is currently located on the Alfred Medical Research and Education Precinct (AMREP).

My role at Burnet

15. As the Director and CEO I am responsible to the Board of Directors for providing strategic leadership and direction of the institute in support of its mission in achieving better health for poor and vulnerable communities in Australia and internationally through research, education and public health.

22. Medical researchers are similar to scientific researchers, some of whom are employed at universities as research only scientists. However, it is different from the work of other university academics.
23. The principal role I had as a teaching and research academic was to teach. It was to coordinate, run and teach undergraduate courses. It was clear that this was the principal reason for my tenure. While I maintained a research laboratory as well, this was clearly a secondary reason. What this exemplifies is not just the fundamentally different role that I played at the University compared to a medical research institute but gets to the heart of the distinction between a higher education organisation and an independent medical research institute.
24. The Centre for International Health's expertise spans the prevention and care of infectious diseases, women's and children's health, harm reduction, primary health care, and strengthening national health systems. Internationally, we respond effectively to local health issues, working closely with communities, civil society organisations, governments, international non-governmental organisations (**NGOs**) and UN agencies.

Diverse activities of Burnet

25. Burnet's approach to address complex health issues is to both:
 - (a) generate new knowledge and health intervention tools (ie research); and
 - (b) apply the best available evidence to community level public health programs.
26. The Burnet is an accredited International NGO, a status that distinguishes the Burnet from universities and every other independent Medical Research Institute in Australia.
27. Burnet is a member of the Australian Council for International Development (ACFID) and is a committed signatory to the ACFID Code of Conduct which is a voluntary, self-regulatory code of good practice.
28. The Burnet links medical research with public health action to enable us to respond with comprehensive and innovative solutions to complex health issues through generating new knowledge and health intervention tools, and applying the best available evidence to community level public health programs.
29. By way of example the Healthy Mothers, Healthy Babies program in Papua New Guinea aims to define the major causes of poor maternal, newborn and child health and to identify or develop feasible, acceptable and effective interventions and health service delivery strategies to improve reproductive, maternal and child health in PNG.

Supervision of research higher degree students

30. Students who are being supervised by Burnet researchers are enrolled at a university. Their research projects contribute broadly to the research productivity and major mission of the institute. Burnet supervisors provide high level research and career training to their students.
31. If a Burnet staff members are engaged in lecturing or teaching and are paid to do so, they are paid by the relevant university, not the Burnet. It would be unusual for an independent MRI to pay its staff to do so in their capacity as MRI researchers. To the extent that I engage in these activities I do so as an honorary appointee of the University of Melbourne and Monash University.
32. Staff employed by the Burnet, in their capacity as honorary or part time staff of their universities, currently supervise 45 research higher degree (**RHD**) students.
33. The supervision of RHD students is quite different from teaching. It is more of a practical mentoring role, in which the RHD students are able to work collaboratively with a more senior researcher, who trains them in how to do their job.
34. I hold professorial appointments at the University of Melbourne and Monash University, primarily for the purpose of supervising RHD students.

Affiliations

35. Burnet originated as the Fairfield Hospital Research Centre, and virus laboratory based at Fairfield Hospital in Melbourne. As Fairfield Hospital and its Research Centre became one of the primary centres for patient care, diagnostic services, public health reference and research into HIV and AIDS in Australia, it was determined that the Research Centre become an independent institute. It maintained its close ties with Fairfield Hospital but obtained its own Board.
36. Burnet has formal agreements with the University of Melbourne and Monash University in relation to their honours and PhD students who are based at the Burnet. These universities have affiliations with many types of organisation – for example, Monash University has affiliations with commercial research organisations such as GlaxoSmithKline.

Research collaborations

37. Burnet has a strong culture of translating research outcomes and has been successful in developing and partnering novel technologies such as vaccines, diagnostics and therapeutics, some of which have reached the market.
38. The Burnet has entered into a partnership with Omega Diagnostics to manufacture, commercialise and distribute CD4 point of care tests to measure the immune status of people living with HIV in developing countries. CD4 cells are a type of white blood cells that play a major role in protecting the body from infection. The Burnet collaborates with big pharmaceutical manufacturers, hospitals, charities (such as the Gates Foundation and the Wellcome Trust) and universities.

Regulation of Burnet

39. The Burnet is required to undergo a comprehensive accreditation process with the Department of Foreign Affairs and Trade (**DFAT**) with regard to its status as an NGO.
40. The Burnet is also required to report to a range of organisations who provide funding support in relation how the money is expended.

Funding arrangements

41. In the financial year ending 31 December 2015, Burnet received approximately:
 - (a) 33% of its operating revenue comes from Government (91% from commonwealth, 5% from state and 4% from other);
 - (b) 29% of its operating revenue comes from contract research and development consultancies for organisations such as DFAT;
 - (c) 7% of its operating revenue from donations;
 - (d) 11% of its operating revenue from Victorian Government operational infrastructure support);
 - (e) 11% from property leasing arrangements;
 - (f) 2% of its operating revenue from other contract services, eg. 360 Biolabs, a contract service provider using cutting edge technology to support the development of therapeutics, vaccines and diagnostics;
 - (g) 7% from miscellaneous;
42. Further details of Burnet's funding are set out in Burnet's 2015 Financial Report, annexed to this Statement as Annexure **BC-2**.

43. Grants that the Burnet could access that would not be available to universities would include the type of funding that Burnet receives from DFAT; the Department for International Development (UK); and the US Agency for International Development (USAID).

PROFESSOR BRENDAN CRABB

3 June 2016

Curriculum Vitae

of

Professor Brendan Crabb AC



Name and Contact Details

Professor Brendan S. Crabb AC PhD FAHMS
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Citizenship, Date of Birth

Australian, 13 September 1966

Academic Qualifications

1987, BSc, The University of Melbourne
1988, BSc (Hons) Department of Microbiology, The University of Melbourne
1992, PhD (Virology) School of Veterinary Science, The University of Melbourne

Current Position

2008 - Director and CEO, Burnet Institute, Melbourne

Other Appointments

2015 - Member, National Health and Medical Research (NHMRC) Council
2015 - Chair, International Advisory Board and member Organising Committee, One Health EcoHealth Conference December 2016, Melbourne Australia
2014- Director, Board of Research Australia Ltd
2014- Chair, Victorian Chapter of Association of Australian Medical Research Institutes (AAMRI)
2013- Chair, Alfred Medical Research & Education Precinct Council, Victoria
2012- Member, Scientific Advisory Board (malaria), Wellcome Trust Sanger Institute, UK
2012- Chair, PATH/MVI Vaccine Science Portfolio Advisory Council (VSPAC), USA (member since 2008)
2012 - Member, Scientific Advisory Board, Monash Institute of Pharmaceutical Sciences (MIPS)
2012 - Chair, Papua New Guinea Institute of Medical Research International Buttressing Coalition
2012- Director & Immediate Past President, Association of Australian Medical Research Institutes (AAMRI)
2010 - Director, Board of AMREP Animal Services Pty Ltd, Victoria
2010 - Adjunct Professor, Monash University
2008 - Adjunct Professor, The University of Melbourne
2001- Member, Board of the Gene Technology Access Centre (GTAC), Victoria

Previous Appointments

2013-14 Member, Victorian Government Health Exports Advisory Committee
2012-14 President, Association of Australian Medical Research Institutes (AAMRI)
2011-13 Chair, 2013 Gordon Research Conference on Malaria, Italy
2006-09 Editor-in-Chief, *International Journal for Parasitology*
2000-08 International Research Scholar, Howard Hughes Medical Institute, USA
2001-08 Laboratory Head, The Walter and Eliza Hall Institute of Medical Research

2007-08	NHMRC Senior Principal Research Fellow (SPRF)
2004-07	NHMRC Principal Research Fellow (PRF)
2003-04	NHMRC Senior Research Fellow (SRFB)
2001-08	Senior Fellow (Honorary), University of Melbourne
1999-00	Senior Lecturer, Dept. of Microbiology & Immunology, Univ. of Melbourne
1996-98	Lecturer (Level B), Dept. of Microbiology & Immunology, Univ. of Melbourne
1995-96	Research Officer, The Walter & Eliza Hall Institute of Medical Research
1992-94	Postdoctoral Fellow, Dept. of Veterinary Science, University of Melbourne

Prizes and Awards

2015	Companion of the Order of Australia (AC)
2014	Fellow of the Australian Academy of Health and Medical Sciences
2009	Bancroft-Mackerras Medal, Australian Society for Parasitology
2009	Melbourne Top 100 Most Influential People, The Age Magazine
2007	NHMRC Senior Principal Research Fellowship
2006	David Syme Research Prize, The University of Melbourne
2005	International Scholar Award, Howard Hughes Medical Institute, USA
2001	Melbourne Achiever Award, Committee for Melbourne
2001	Burnet Prize, The Walter and Eliza Hall Institute of Medical Research
2000	International Scholar Award, Howard Hughes Medical Institute, USA
1999	Young Tall Poppy Award (Victoria), Australian Institute of Political Science

Overview

Professor Brendan Crabb AC is currently the Director the Macfarlane Burnet Institute for Medical Research and Public Health (Burnet Institute) and the Immediate-Past President of the Association of Australian Medical Research Institutes, the peak body for 47 medical research institutes in Australia. He is internationally recognised for his contribution to the health of poor and vulnerable communities throughout Australia and the world through scholarly research, leadership and advocacy, and through education on a number of fronts.

His most significant achievement was leading the successful transition of the Burnet Institute into a major, internationally recognised global health research Institute. Under Professor Crabb's stewardship the Burnet Institute took on a mission to improve the health of poor and vulnerable people in Australia and throughout the world, especially the Asia-Pacific. The Burnet's method of placing research and innovation at the centre of development strategies is largely unique.

He has made influential contributions to medical research and science policy on a number of fronts and across divergent government sectors. For example, through his role of President of AAMRI and co-founder (with the late Alastair Lucas) of the Medical Research Future Fund Action Group, Prof Crabb was influential in the development of the government's plans for a \$20b medical research future fund (MRFF). Moreover, his long-standing advocacy for research and innovation to play a major role in health spending in Australia's aid program played a role in DFAT's new innovation-focussed health strategy. This strategy was launched in June, 2015 at a Burnet Institute function in Parliament House, Canberra by the Minister for Foreign Affairs. In 2014, Professor Crabb travelled with the Prime Minister Abbott and Minister Robb through the US and Canada promoting medical research and fostering collaboration.

Professor Crabb's scientific expertise is in the study of infectious diseases, particularly malaria. The long-term aim of his research is the development of a malaria vaccine and the identification of new drugs to treat malaria. As a researcher, Professor Crabb is best known for pioneering the development and application of genetic technologies to study the parasite that causes malaria. He generated the first gene knockout in human malaria and discovered the malaria translocon, a vital pathogenic transport machine.

Key scientific discoveries and achievements:

1. Discovery of the export translocon, PTEX

In 2009, Prof Crabb's group described the discovery of the elusive *Plasmodium* translocon (he termed PTEX), a protein trafficking machine responsible for the export of malaria proteins into the cytosol of its host cell (de Koning-Ward et al, Nature 2009; cited 142 times; this and all metrics below from Thomson-ISI Web of Science). Prof Crabb led the group responsible for its discovery; he personally made the initial observation and ran the project.

In 2014, Prof Crabb's group took this a substantial step further to show that all classes of exported malaria parasite proteins are trafficked via this machine, and demonstrating its potential as perhaps the most potent new drug target in malaria (Elsworth et al, 2014, Nature). On this latter work, Prof Crabb shared equal lead authorship with his two former postdocs that he has been actively mentoring into group leadership. Apart from being important in its own right, this work, and an independent study from Dan Goldberg's group in St Louis published back-to-back (Beck et al, 2014, Nature), confirmed that Prof Crabb's discovery in 2009 of the PTEX translocon had been entirely correct.

The PTEX translocon is a common portal through which hundreds of different proteins must pass to be exported. The proteins exported by this protein translocon play different and varied roles but many are considered key virulence determinants of the pathogen. In that sense the translocon is considered a potent new drug target for malaria – the discovery suggesting that a single drug blocking this portal could simultaneously interfere with the function of hundreds of important proteins.

The above work was very much Prof Crabb's discovery but separately, and in collaboration with Professor Cowman's group, Professor Crabb's team has also discovered another key aspect of this same protein trafficking pathway, a key role for proteolysis at an earlier point in the endoplasmic reticulum (Boddey et al Nature, 2010) and how this event directs exported proteins to the PTEX translocon.

2. Description of the first gene knockout in human malaria

As a postdoc in Prof Cowman's laboratory, Prof Crabb pioneered genetic technologies in the human malaria parasite being first author on the paper describing the first gene knockout in this organism (Crabb et al, 1997 Cell; cited 271 times).

This signalled an ongoing effort over the next 17 years to develop genetic technologies in this organism (for example see Crabb & Cowman 1996, PNAS; Crabb et al 1997 MBP and Meissner et al, 2005 PNAS; these 3 papers together cited more than 400 times). Together with Prof Cowman, Prof Crabb published the largest gene knockout screen performed in this organism (Maier et al, 2008 Cell; cited 162 times).

The transfection approach is now standard and constitutes the most powerful tool to assess malaria gene function in a field that has expanded greatly since publication of the *P. falciparum* genome in 2002. Many hundreds, possibly thousands, of gene knockout or similarly genetically manipulated *P. falciparum* lines have been published since by many groups throughout the world using methods and vectors developed by Professor Crabb and his colleagues, and these have been used to make major advances in understanding malaria biology, drug-resistance, pathogenesis and immunity.

By way of example, in the first knockout paper, Professor Crabb and colleagues discovered that one exported protein is responsible for tethering the virulence ligands to the erythrocyte cytoskeleton, a process that allows infected red blood cells to adhere strongly to blood vessel walls and by doing so avoid remaining in the circulation (Crabb et al, Cell 1997). Over the next

decade, the Crabb and Cowman teams collaborated to characterise the roles in cellular adhesion of many similar exported virulence proteins (eg, Maier et al, 2008 Cell).

3. Identification of a nuclear sub-compartment for expression of virulence genes

Prof Crabb has worked for many years on the major virulence protein of the human malaria parasite and the variant genes that encode this protein known as var genes. While var gene work was in collaboration with Prof Cowman's group, Prof Crabb's specific contribution was the identification of a nuclear sub-compartment where otherwise transcriptionally silent var genes reside in their active form.

Together (as joint last authors) they published a key paper in Cell in 2005 that described this finding together with the observation that the protein Sir2 was responsible for much of the observed epigenetic repression (Duraisingh et al, Cell 2005 cited 259 times). The latter finding relating to repression is predominantly Prof Cowman's whereas credit for the former belongs primarily to Prof Crabb.

This work on epigenetic regulation of var genes continued by Prof Crabb and Cowman's teams with follow up work confirming the nuclear "expression" site (Voss et al, Nature 2006 cited 144 times).

4. The first antigen-specific antibody neutralisation test in malaria

As an adjunct to vaccine development, Professor Crabb's group has also pioneered the use of transgenic parasites to measure antibody responses in infected individuals (O'Donnell et al, Nature Med 2000 cited 126 times, O'Donnell et al J Exp Med 2001 cited 193 times; John et al, J Immunol 2004 cited 107 times).

These papers describe the first antigen-specific antibody neutralization tests in malaria. In human malaria, assays are performed on blood samples from individuals that have suffered from malaria and the innovation adopted by Professor Crabb was to use transgenic parasites to control for the confounding effects of non-specific factors that had dogged the accurate assessment of protective responses in blood samples. These approaches now used widely by other groups to study immune responses in naturally infected or experimentally vaccinated individuals to an array of malaria antigens and have led to profound insights into the mechanisms of anti-parasite antibody responses.

5. Antigen discovery

Professor Crabb's group have discovered and functionally and immunologically characterised many blood-stage parasite antigens of the extracellular parasite form that have potential to serve as vaccines for the control of malaria. This body of work was most recently summarised in Cowman and Crabb, Cell (2006; a review cited 372 times). These studies have greatly increased knowledge of parasite antigens and have laid the foundation for a thorough understanding of parasite invasion of host cells and for systematic vaccine discovery projects. This is best demonstrated by the awarding of a grant from the Bill and Melinda Gates Foundation of ~A\$3m (to Professor Crabb as the Principal Investigator) to systematically rank the potential of all blood-stage antigens to serve as a malaria vaccine.

Publication record. Professor Crabb has published 144 peer-reviewed articles, 11 in *Nature*, *Science* or *Cell*, the world's leading scientific journals. As a measure of the impact of his work, Professor Crabb's papers have been cited >6,500 times, now >650 cites per year. Five of his papers have been cited more than 200 times and 17 papers more than 100 times. He has an *h*-index of 45.

Science leadership. Appointed as Director and CEO of the Burnet Institute in March 2008, Professor Crabb has overseen the transformation of the Institute into nationally and internationally renowned global health research institute. He instigated a change of mission for the organisation to one that totally focuses on “*improving the health of poor and vulnerable communities in Australia and internationally*”. The institute now has an annual turnover of more than \$40 million, all going toward addressing health issues of the disadvantaged. The Burnet Institute is the only Australian organisation formally recognised as both a medical research organisation and an international NGO. This dual role allows the Burnet Institute to conduct research that has a community, as well as scientific discovery, focus. It allows the organisation to identify new and more effective ways to deliver better health directly to disadvantaged communities. Most notably more than 150 Burnet Institute staff are now based in developing countries. Under Professor Crabb’s leadership the organisation’s unique humanitarian and scientific reputation has grown in many countries outside of Australia; most notably in PNG, Burma, Laos and China (including Tibet).

Professor Crabb is the Immediate-Past President of AAMRI, the peak body representing 10,000 staff and students of Australia’s 47 medical research organisations. In this honorary role he is widely recognised for his advocacy to Federal and State Parliamentarians for improvements for the medical research sector and to promoting the benefits of medical research and global health to the wider community. Professor Crabb is widely recognised as one of the most influential medical research and global health advocates in Australia.

International recognition. Professor Crabb has twice been awarded 5-year International Research Scholar Award from the Howard Hughes Medical Institute in the US and in 2007 at the age of 41, was awarded a Senior Principal Research Fellowship (SPRF) from the National Health and Medical Research Council (NHMRC) of Australia. He has also won a number of prestigious prizes from Universities and other scholarly societies. As further recognition of his contribution he is a regularly invited international conference speaker, including often at Gordon Research and Keystone conferences.

Professor Crabb is the Chair of the peak malaria vaccine portfolio oversight group in the US, PATH’s Malaria Vaccine Initiative Vaccine Science Portfolio Advisory Committee (VSPAC; www.malariavaccine.org/vspac-members.php).

Professor Crabb was recently the Chair of the Gordon Research Conference on Malaria held in Italy 2013. This brings together the world’s leading malaria researchers and being elected to run this meeting is a prestigious honour.

He is also the Chair of the Alfred Medical Research and Education Precinct (AMREP) governing council and the Chair of the Papua New Guinea Institute of Medical Research International Buttressing Coalition.

He holds Professorial appointments at Melbourne and Monash Universities and is a Fellow of the Australian Academy of Health and Medical Sciences.

Other contributions. Professor Crabb has made an extensive contribution to education and training at many levels. In research he has trained, mentored and supervised more than 40 postdoctoral fellows, PhD and honours students during his career, many of whom went on to research positions around Australia and the world. One of those trained by Professor Crabb (from 2000-2008), Dr Tania de Koning-Ward, was the 2011 recipient of the Federal Health Minister’s Award for Excellence, the highest national honour for mid-career medical researchers in Australia. In tertiary education Professor Crabb has much experience having been a full-time lecturer at The University of Melbourne (1996-2000) and he continues to teach a course on global health at Melbourne University.

He remains especially involved in educational activities for school students and teachers, most notably through the Gene Technology Access Centre (GTAC) in Melbourne. For more than a decade Professor Crabb has served in a voluntary capacity on the GTAC board where he was a founding member. GTAC serves a special purpose of bringing science to primary and secondary teachers and students. GTAC now reaches thousands of students and hundreds of teachers each

year, linking them with active researchers and inspiring them with the latest knowledge and developments in biology.

His interest in this activity is to promote broad scientific literacy in the community. Professor Crabb's interest in improving how science is perceived in the broader populace is long-standing and very deliberate. He is of the view that this, above all else, is a crucial to underpinning bold, whole of government science policy into the medium term and the subsequent future of the Australia economy as substantially more knowledge based.

He is an editorial board member of many journals and for 3 years he was the Editor-in-Chief of the world's highest impact parasitology journal the *International Journal for Parasitology*.

Local, national and international profile

(All listed international speaker invitations were fully-funded (travel, registration and accommodation) by conference organisers)

- 1999 *Invited speaker*, Malaria Genome Project Meeting, London, UK
Invited speaker, Department of Genetics, University of Melbourne, VIC
Invited speaker, CRC for Vaccine Technology Annual Meeting, Fraser Is, QLD
Invited speaker, 4th Malaria in Melbourne Meeting, La Trobe University, VIC
- 2000 *Invited speaker*, Queensland Institute of Medical Research, Brisbane, QLD
Invited speaker, 1st Molecular Approaches to Malaria Conference, Lorne, VIC
Invited speaker, Harvard Malaria Initiative Workshop: Genomes to Drugs, MA, USA
Invited speaker, Dept. of Microbiology and Immunology, Uni. of Melbourne, VIC
Invited speaker, Department of Biochemistry, La Trobe University, VIC
Invited speaker, Victorian Infectious Diseases Laboratory, VIC
- 2001 *Invited speaker*, School of Veterinary Science, The University of Melbourne, VIC
Invited speaker, The Walter and Eliza Hall Institute of Medical Research, VIC
Invited speaker, CRC for Vaccine Technology Annual Meeting, Marysville, VIC
Invited speaker, 11th Malaria Genome Consortium Meeting, Hinxton, UK
Invited speaker, National Institute of Medical Research, Mill Hill, UK
Invited speaker, HHMI International Research Fellow Conference, Vancouver, Canada
Invited speaker, Dept. of Biochemistry and Molecular Biology, Monash Uni., VIC
Plenary speaker, Molecular Medicine Meeting, ICGEB, New Delhi, India (cancelled)
- 2002 *Invited speaker*, Malaria in Melbourne Meeting, RMH, VIC
Invited speaker, Centenary Institute for Cancer Research, Sydney, NSW
Invited speaker, HHMI International Research Fellow Conference, Cairns, QLD
Invited speaker, ASM Annual Conference, Melbourne, VIC
Invited speaker, Malaria Transfection Workshop, ICGEB, New Delhi, India
Invited speaker, 1st Severe Malaria Meeting, Stockholm, Sweden
- 2003 *Plenary speaker*, British Society of Parasitology Spring Conference, Manchester, UK
Invited speaker, Burnet Research Institute, VIC
Invited speaker, Malaria in Melbourne Meeting, Monash Uni, VIC
Invited speaker, London School of Hygiene & Tropical Medicine, UK
Invited speaker/Session chair, Combio Annual Conference, VIC
- 2004 *Invited speaker*, Walter & Eliza Hall Institute of Medical Research, VIC
Invited speaker, HHMI International Research Fellow Conference, Tallin, Estonia
Plenary speaker, Gordon Conference - Biology of Host-Parasite Interactions, RI, USA (declined)

- Invited speaker*, Biology of Parasitism teaching symposia, Woods Hole, MA
Invited speaker, Naval Medical Research Institute, Washington, USA
Invited speaker, Harvard School of Public Health, MA
Invited speaker, Pasteur Institute, France
Invited speaker, Fondation des Treilles Malaria Conference, Tourtour, France
Session chair/speaker, ASTMH Meeting, Florida USA
Conference chair, 2nd Molecular Approaches to Malaria Conference, Lorne, VIC
- 2005 *Invited speaker*, Malaria Immunology Workshop, Baltimore, USA
Plenary speaker, Keystone Symposium - Drugs Against Protozoan Parasites, Copper Mountain, CO
Plenary speaker/Session chair, 2nd Indo-Australian Conference on Biotechnology, Manipal, India
Invited speaker, HHMI International Research Fellow Conference, Mérida, Mexico
Plenary speaker, Gordon Research Conference - Malaria, Oxford, UK
Invited speaker, Vaccine approaches against parasitic diseases. Mérieux Foundation Ancey, France
Invited speaker, Queensland Institute of Medical Research (July)
Invited speaker, CSL Ltd, VIC (July)
Workshop chair/speaker, 2nd Malaria Transfection Workshop, ICGEB, New Delhi, India
Invited speaker, Dept. Biochemistry & Molecular Biology, Monash University (Nov)
Invited speaker, MIM Pan-African Malaria Conference, Yaounde, Cameroon (declined)
Invited speaker, Australian Society for Immunology Annual Conference, VIC
- 2006 *Invited speaker/Session chair*, Keystone Symposium, New Mexico
Invited speaker, 3rd International Malaria Research Conference, Johns Hopkins Malaria Research Center, Baltimore, USA (declined)
Invited speaker, Malaria Protein Structure & Function, Lorne Satellite Meeting, VIC
Invited speaker/Session chair, ARC/NHMRC Parasitology Network, Gold Coast, QLD
Invited speaker, School of Veterinary Science, The University of Melbourne, VIC
Invited speaker, International Union of Biochemistry & Molecular Biology Societies, Kyoto, Japan
Invited speaker, Osaka University, Japan
Invited speaker, Immunology Group of Victoria (IgV), VIC
Invited speaker, Department of Biochemistry, La Trobe University, VIC
Invited speaker, HHMI International Research Scholars Conference, Washington, USA
Joint-chair/invited speaker, Parasitology Pre-Meeting Course, ASTMH Annual Meeting, Atlanta, USA
Invited speaker, ASTMH Annual Meeting, Atlanta, USA
- 2007 *Workshop Co-chair and speaker*, 3rd Malaria Transfection Workshop, Bangkok, Thailand
Plenary speaker, 4th Indo-Australian Conference on Biotechnology, Brisbane, Qld
Invited speaker, 2nd Severe Malaria Meeting, Stockholm, Sweden
Invited speaker, HHMI US Research Scholars Annual Meeting, Washington, USA
Invited speaker, Department of Genetics, The University of Melbourne
- 2008 *Invited speaker*, Molecular Approaches to Malaria 2008 (MAM2008), Lorne, VIC
Invited speaker, Johns Hopkins Research Institute International Malaria Conference, Baltimore, USA
Invited Speaker, Papua New Guinea Institute of Medical Research – 40th Anniversary Colloquium
Invited speaker, Keystone Symposium on Malaria: Immunology, Pathogenesis & Vaccine Perspectives, Alpbach, Austria
Invited Speaker, Berard Nocht Institute for Tropical Medicine, Hamburg University
Invited Speaker, Nanyang Technical University, Singapore

- Invited speaker*, Keystone Symposium on Pathogenesis and Control of Emerging Infections and Drug Resistant Organisms, Thailand
Invited Speaker, Walter & Eliza Hall Institute (Sept)
Invited Speaker, Department of Immunology, Monash University (October)
Invited Speaker, AAHL Deakin, Geelong "Toward a blood stage vaccine for malaria" (Dec)
- 2009 *Invited speaker*, Department of Microbiology & Immunology, Melbourne University "Invasion, virulence and an Achilles heel in the malaria parasite" (April)
Invited speaker, Bancroft Mackerras Medal Oration, ASP & ARC/NHMRC Research Network for Parasitology Annual Conference, Sydney "Virulence and an Achilles' heel in malaria" (July)
Invited speaker, Monash Infectious Diseases Society, Alfred Hospital "Virulence mechanisms in malaria: Invasion and cytoadherence" (August)
Invited speaker, Malaria Gordon Conference 2009, Oxford University, UK "Exporting Plasmodium proteins" (Sept)
Invited speaker, Laboratory of Parasitic Diseases, National Institutes of Health, USA "Exporting Plasmodium Proteins" (October)
Invited speaker, Harvard School of Public Health, Harvard University, USA "New insights into signaling during Plasmodium falciparum merozoite invasion" (October)
Invited speaker, Department of Biochemistry, La Trobe University "New insights into Plasmodium falciparum merozoite invasion" (October)
- 2010 *Invited speaker*, Queensland Institute of Medical Research, "A common protein export pathway in malaria parasites" (June)
Invited speaker, School of Medicine, Deakin University "Cell signalling in malaria" (July)
Invited speaker, Parasite to Prevention - Advances in the understanding of malaria Conference, Heriot-Watt University, Edinburgh UK "A common protein export pathway in malaria parasites" (October)
Invited speaker, India – Australia Biotechnology Conference, Brisbane. "A common protein export pathway in malaria parasites" (October)
- 2011 *Invited speaker*, Gordon Research Conference – Tropical Diseases from Bench to Field. Texas, USA. "Protein export is an Achilles heel in malaria parasite development and virulence". (March)
Invited speaker, Wellcome Trust Sanger Institute, Cambridge, UK. (April)
Invited speaker, International Day of Immunology, Melbourne. "Fighting malaria, and the evolution of humans" (April)
Invited speaker, Science at the Shine Dome, Australian Academy of Science. Workshop on "Grant writing skills for early career researchers" (May)
Invited speaker, Department of Pathology, University of Melbourne. "Invasion and adherence: key pathogenic events in human malaria" (June)
Chair elect, Gordon Research Conference - Malaria, Molecular and Cell Biology of Malaria, Italy (July).
- 2012 *Invited speaker*, Molecular Approaches to Malaria conference, Lorne Victoria. (Feb)
Session chair, EMBO conference, Subversion of Host Cellular Organisation and Functions by Pathogens. Geneva (May).
Invited speaker, The CEO Institute, 'The Place of the Burnet Institute in the Research Market Internationally' (June).
Keynote speaker, The Melbourne Protein Group 2nd Postdoctoral Symposium. "Protein trafficking machinery as key virulence determinants for malaria parasites" (Sept)
Invited Speaker, Department of Microbiology and Immunology, The University of Melbourne "Protein trafficking machinery as key virulence determinants for malaria parasites" (Sept)
- 2013 *Invited speaker*, Lorne Infection and Immunity Conference, Lorne Victoria (Feb)
Invited speaker, Australia Myanmar Institute Conference, Melbourne (March)

Chair, 2013 Malaria Gordon Research Conference. *Molecular and Cell Biology of Malaria*, Italy (August).

Keynote address, Global Ideas Forum 2013, Melbourne. "Development aid works" (August)

Invited speaker, Monash University, Department of Microbiology "New insights into malaria pathogenesis"

Keynote address, 2013 Tall Poppy Awards, Melbourne (September)

Keynote address, 2013 International Symposium on Hepatitis C Virus and related Viruses, Melbourne (October)

Invited speaker, Athenaeum Club – Current Affairs Table, Melbourne. (October)

Invited speaker, Nossal Institute Global Health Forum, Melbourne (November)

2014 *Invited speaker*, 5th Australasian Vaccines & Immunotherapeutics Development Meeting, Melbourne (May)

Invited speaker, Peter Mac research seminar series, Melbourne. (June)

Invited speaker, bioCSL/PHAA National Immunisation Conference. Vaccination uptake – globally, grassroots level, and via technology. (June)

Invited speaker, ICOPA XIII. "Host cell remodelling and transport mechanisms in malaria", Mexico (August)

Invited speaker, Philanthropy for Health and Medical Research conference, Melbourne (August)

Invited speaker, The Future of Medical Research conference, Sydney (September)

Invited speaker, PNG Medical Symposium, University of Goroka (September)

Keynote speaker, The Basil Hetzel Institute, The Queen Elizabeth Hospital, Adelaide. 'The global significance of malaria' (October)

Keynote speaker, Inspirational Leaders seminar series, UBS Australia, Melbourne. 'Global health, medical research and leadership'. (December)

2015 *Panellist*, iMRI Review Workshop, Commonwealth Dept of Health, Melbourne. (March)

Keynote speaker, Annual General Meeting, Centre for Cancer Biology, University of Sth Australia, Adelaide. (July)

Panel member, International Careers Conference 2015, Melbourne. (August)

Invited speaker, Department of Protozoology, Institute of Tropical Medicine (NEKKEN) Nagasaki University, Japan. (September)

Invited speaker, 2015 Awaji International Forum on Infection and Immunity, Japan. (September)

Panel member, Nossal Forum, Melbourne (October)

Invited speaker, "Medical Research Future Fund". AusBiotech National Conference, Melbourne. (October)

Invited speaker, "Eradication verses containment: Why the polio eradication effort is still relevant". 2015 World Polio Day event, Parliament House Canberra (October)

Invited speaker, Macfarlane Burnet Oration Dinner. Gippsland Branch of the Order of Australia Association, Traralgon. (October)

Invited speaker, North East & Goulburn Valley Order of Australia Association Regional Group, Beechworth. (November)

Invited speaker, Institute for Glycomics, Griffith University Gold Coast, Qld (November)

Other International consortia/working groups

(All listed invitations were fully-funded by organisers)

1999 Malaria Genome Project Task Force (WHO advisor), London, UK

2000 Harvard Malaria Initiative: Genomes to Drugs (WHO/TDR), MA, USA

2001 Malaria Genome Sequencing Consortium, Cambridge (Wellcome Trust), UK

2002 1st Malaria Functional Genomics Workshop (TDR, EMBO), New Delhi, India

2003-4 Wellcome Trust Functional Genomics Initiative, York ('03) and London ('04) UK

2004-5 Malaria Vaccine Technology Roadmap (Wellcome Trust/MVI/Gates) – UK ('04), France ('05)

- 2004-7 TDR/WHO Applications of Transfection Technology Network (Coordinator) – Thailand (04, 07), Italy (05), Brazil (06)
- 2005 2nd Malaria Functional Genomics Workshop (*Chair*; TDR, EMBO, HHMI), New Delhi, India
- 2006 American Society of Tropical Medicine and Hygiene Pre-Meeting Course (*Co-Chair*) - Atlanta
- 2007 3rd Malaria Functional Genomics Workshop (*Co-Chair*; TDR, HHMI, BioMalPar), Thailand
- 2007 Scientific Advisory Board Member and European Commission Evaluator, Biology and Pathogenesis of Malaria Parasites (BioMalPar) Network of Excellence Program, Heidelberg, Germany
- 2007 Bill & Melinda Gates Foundation Malaria Forum, Seattle WA
- 2007 Hinxtton Retreat: *Plasmodium falciparum* community re-annotation workshop, Cambridge, UK
- 2008 Scientific Advisory Board Member and European Commission Evaluator, Biology and Pathogenesis of Malaria Parasites (BioMalPar) Network of Excellence Program, Heidelberg, Germany
- 2012- Member, Scientific Advisory Board, Malaria Program, Wellcome Trust Sanger Institute, UK
- 2012- Chair, PATH/MVI Vaccine Science Portfolio Advisory Council (VSPAC), USA (member since 2008)

Postgraduate and undergraduate teaching and clinical involvement

BSc.Hons and PhD students

Year	Student	Degree	Co-supervisor	Outcome
1993-1997	F. Li	PhD	MJ Studdert, UM	Postdoc, U of Pittsburgh
1997	R. O'Donnell	BSc.Hons	AF Cowman, WEHI	PhD Schol. (APA)
1997	D. Baldi*	BSc.Hons	AF Cowman, WEHI	PhD Schol. (APA)
1997	T. Hinton	BSc.Hons	N/A	PhD Schol. (APA)
1997-2002	S. Warner	PhD	N/A	SRO, Vic Govt.
1998-2002	R. O'Donnell	PhD	AF Cowman, WEHI	NHMRC/Wellcome Fell
1998-2002	D. Baldi*	PhD	AF Cowman, WEHI	Postdoc, UM
1998-2002	T. Hinton	PhD	N/A	ARC Postdoc (now UK)
1998-2002	J. Cameron*	PhD (PT)	D McPhee, MBC	
1999-2002	M. Peters*	PhD	GF Browning, UM	Postdoc, Perdue Univ.
2000	P. Sanders	BSc.Hons	N/A	PhD Schol. (APA)
2000	K. Tivendale*	BSc.Hons	GF Browning, UM	UM/ PhD (MRS)
2001-2006	P. Sanders	PhD	AF Cowman, WEHI	Postdoc WEHI
2001-2006	J. Stubbs*	PhD	AF Cowman, WEHI	Postdoc Bellinzona
2001-2004	S. Miller	PhD	T de Koning-Ward,	Industry scientist
2002	R. Lundie	BSc.Hons	WR Heath, WEHI	PhD Schol. (APA)
2002-2006	A. Marty	PhD	AF Cowman, WEHI	EMBO O/S Fellowship
2003-2007	R. Lundie	PhD	WR Heath, WEHI	
2003-2006	S. Frankland*	PhD	L Tilley, La Trobe	Postdoc, La Trobe Uni
2004-2007	J. MCoubrie	PhD	AF Cowman, WEHI	
2004-2007	D. Wilson*	PhD	J Beeson, WEHI	
2007-2010	A Gout*	PhD	TP Speed, WEHI	
2007	H Bullen	BSc.Hons	AF Cowman, WEHI	
2007-2010	L Shong*	PhD	WR Heath, WEHI	
2008-2012	H Bullen	PhD	PR Gilson & AF Cowman, WEHI	
2008-2012	T Taechalertpaisarn	PhD	PR Gilson & AF Cowman, WEHI	
2011-present	K Harvey	PhD	PR Gilson	
2011-2015	B Elsworth	PhD	PR Gilson	
2012-2015	S Charnaud	PhD	PR Gilson	

(*Students where I am/was not the primary supervisor)

Postdoctoral Fellows

2000-2007	Dr Tania de Koning-Ward (P/T)	Howard Florey Centenary Fellow (NHMRC)/SRO
2000-2005	Dr Damien Drew	NHMRC Peter Doherty Fellow

2001-2008	Dr Tony Hodder	Senior Research Officer
2002-2003	Dr Rebecca O'Donnell	Research Officer
2003-present	Dr Paul Gilson	Research Officer (former ARC Postdoct. fellow)
2003-2005	Dr Doron Greenbaum	Human Frontiers Fellow
2005-2005	Dr Kevin Tetteh	Royal Society Fellow
2005-present	Dr T Carvalho	Fondation pour la Recherche Médicale, France
2006-2007	Dr Rebecca O'Donnell	NHMRC Peter Doherty Fellow
2006-2007	Dr Paul Sanders	Research Officer
2007-2008	Dr Mauro Ferreira de Azevedo	Research Officer
2007-2012	Dr Kerstin Leykauf	Research Officer
2011-2015	Dr Catherine Nie	Research Officer
2011-present	Dr Greta Weiss	Research Officer
2014-2015	Dr Boris Prinz	Research Officer

Undergraduate Teaching

- While a Lecturer/Senior Lecturer in the Department of Microbiology and Immunology, The University of Melbourne (1996-2000), I coordinated a number of courses and delivered ~130 lectures (25-30 per year) to BSc (2nd and 3rd year), BSc.Hons, Dentistry (3rd year) and MBBS students (3rd year) on a range of topics in the general areas of medical virology and parasitology. As course coordinator my role included other activities such as curriculum design, the running of tutorials and practical classes, examinations, exam feedback, correspondence with overseas students and career advice.
- Examination involved primary or joint responsibility for assessment of a number of undergraduate courses (see below) and included the setting and marking of numerous essay and multiple-choice questions.
- In my laboratory, I have supervised 3 undergraduate summer or CRC-UROP students (Rachel Lundie, Boosba Hengrasame and Rae Stevenson).

Tertiary Course Coordination

2001	BSc.Hons - Department of Microbiology and Immunology lecture unit: 526-496 "Emerging Infections" (with Dr Lorena Brown)
2000	Medical Microbiology and Virology II: Infection and Immunity 526-312 (with Assoc Prof Strugnell). 3 rd year BSc; Comprises 30 lectures and 6 tutorials (~70 students/yr)
1998-2000	BSc.Hons course - Department of Microbiology and Immunology 526-496/497 (with Dr Lorena Brown) Included coordinating curriculum design, student selection, development of ~30 hours of course work (2-3 lecture units) and assessment (~30 students/yr)
1998-2000	Postgraduate Studies in the Department of Microbiology and Immunology
1996-1999	Medical Virology 526-303 (with Assoc Prof Ian Holmes) 3 rd year Science; Comprises 30 lectures and 6 tutorials (60-105 students/yr)

Lectures/Tutorials (25-30 lectures + tutorials per year in 1996-2000)

Medical Virology 526-303	1996-1999	12 lect. + 6 tut. per year
Dental Microbiology 526-039	1996-2000	7 lect. per year
Principles of Microbiol and Immunol. 526-201	1997-2000	3-4 lect. per year
BSc. Hons (Microbiol & Immunol) 526-496	1997-2000	1-3 lect. + 4-6 tut. per year
Microbes: Infections and Responses 526-205	1999-2000	2 lect. per year
Medical Microbiology Projects 526-323	1998-1999	1-2 6 week projects
Medical Microbiology and Virology I 526-311	2000	5 lect. + 4 tut. per year
Medical Microbiology and Virology II 526-312	2000	8 lect. + 4 tut. per year

From 2001 I have lectured on an occasional basis to MBBS, BSc and BSc.Hons students at The University of Melbourne

Peer review involvement

Grant Application Review

Since 1996 I have been a regular assessor for NHMRC project grants, fellowship appointment and promotion applications. I also regularly act as an assessor for fellowship and grant applications from the Wellcome Trust, the European Commission, the Swiss Research Foundation and Nanyang University Singapore.

In addition to NHMRC Project Grant committees (see below), I have served on The University of Melbourne ARC Small Grants Committee (1999) and the Melbourne Research Development Grants Scheme Committee (2000).

NHMRC Peer Review Committees

1998	NHMRC Regional Grants Interview Committee (Darwin)
2001	NHMRC (Project) Grants Review Panel 2b (Microbiology)
2002	NHMRC (Project) Grants Review Panel 2b (Microbiology)
2003	NHMRC (Project) Grants Review Panel 2b (Microbiology)
2005	NHMRC (Project) Grants Review Panel 2b (Microbiology)
2006	NHMRC (Project) Grants Review Panel 2c (Microbiology)
2007	NHMRC (Project) Grants Review Panel 2c (Microbiology)
2008	NHMRC (Project) Grant Selectors Panel

Manuscript Review

2010- Nature Communications – Editorial Advisory Panel

2010- Editorial Board *Eukaryotic Cell*

2009- Faculty 1000 Biology Reports (Microbiology) Advisory Board

2009- Editorial Board, *International Journal for Parasitology*

2006 - Editorial Board, *Journal of Biological Chemistry*

2006 - Editorial Board, *Immunology and Cell Biology*

2006-2009 Editor-in-Chief, *International Journal for Parasitology*

2003-2008 Editorial Board, *Molecular Microbiology*

2005/6 Section Editor, *Current Opinions in Microbiology* (themed issue on Host-microbe interactions: Parasites 2006)

2004 Guest editor (one issue), *Experimental Parasitology*

2004 Guest editor (one issue), *Trends in Parasitology*

I have acted as a referee for the following scientific journals (>30 per year): *Science, Nature, PNAS, PLoS Biology, Plos Medicine, Plos Pathogens, Nat Struct Mol Biol, J Biol Chem, Mol Microbiol, Vaccine, Arch Virol, Virus Res, Mol Biochem Parasitol, Parasitol Today/Trends in Parasitol, Parasitol Int, Am J Trop Med Hyg, J Infect Dis, Parasite Immunol, Cellular Microbiol, RNA, Immunol Cell Biol*

Scientific discipline involvement

Membership of Societies

1997- Australian Society for Microbiology, *MASM*

2002- Australian Society for Medical Research

2005- Australian Society for Parasitology
2006- American Society for Biochemistry and Molecular Biology

Past membership of Committees

Walter and Eliza Hall Institute Committees

1997-2008 Institute Biosafety Committee (*Chair* 2003-05)
2002-2003 OH&S (SafetyMAP) Steering Committee
2006-2008 Emergency Planning Committee

University of Melbourne Committees

1999 ARC Small Grants Committee
2000-2004 The University of Melbourne Biohazards Committee
2000 Melbourne Research Development Grants Scheme Committee
2003-2006 Postgraduate Scholarships Committee (PGSC)

Other Committees

2001 CRC for Vaccine Technology Executive Committee (ad hoc member)
2003 Science Expert Studies Committee, Victorian Curriculum & Assessments Authority
2005-2008 Australian Society for Parasitology Council

Conference/Workshop Organization

1999-2000 Molecular Approaches to Malaria (Lorne, 2000) Organising Comm., *Treasurer*
2002-2004 Molecular Approaches to Malaria (Lorne, 2004) Organising Comm., *Chair*
2006-2008 Molecular Approaches to Malaria (Lorne, 2008) Organising Comm., *Co-Chair*

The MAM2000 meeting was a unique and highly successful gathering of ~280 malaria researchers. Most of the leaders in the field attended this meeting. Organization of the MAM2004 meeting was a significant undertaking. MAM2004 had ~380 delegates (approximately 2/3 from overseas) and a budget of about \$320,000. Our committee raised a substantial proportion of these funds from a wide variety of local and international sources. Two journals (Experimental Parasitology and Trends in Parasitology) dedicated issues to the publishing of abstracts, reviews and commentaries from this meeting.

2002 Malaria Transfection Workshop (ICGEB, New Delhi, April 15-21), *Organiser*
2005 Malaria Functional Genomics Workshop (ICGEB, New Delhi, October 9-18), *Chair*
2007 Malaria Functional Genomics Workshop (BIOTEC, Bangkok, Feb), *Co-Chair*

These workshops were funded by the WHO program on Tropical Disease Research, the Howard Hughes Medical Institute (USA), EMBO, and MR4 (a subsidiary of ATCC).

2006 American Society of Tropical Medicine and Hygiene Pre-Meeting Course: American Committee of Molecular, Cellular and Immunoparasitology (ASICMP) Knockouts (and knock-ins) in parasites: promises and challenges, November 11, 2006, Atlanta, GA, *Co-Chair* with Dan Carucci (Head – Foundation for NIH, administering organization of the Gates Grand Challenges Program)

2006 International Congress for Parasitological Associations (ICOPA) 2012 Melbourne Bid Committee. Australian parasitologists together with the State Government of Victoria formed a 10-member committee to bid for the next ICOPA meeting. Held every 4 years, the meeting is the largest International parasitology meeting with approximately 2000 delegates. It was announced at the ICOPA 2008 meeting in Glasgow that our lobbying was successful and the next meeting was held in Melbourne at the Melbourne Convention Centre.

2011 Vice Chair, Gordon Research Conference on Malaria (GRC) 2011, Italy. "The science behind control and eradication". Held bi-annually. Elected to Chair for 2013 GRC on malaria. The primary objective of the Malaria GRC is to provide malaria researchers with a forum to discuss

their latest findings in a collegial atmosphere that encourages open discussions and free exchange of ideas, making possible new collaborations and research strategies.

2012 Chair, 9th Indo-Australian Biotechnology Conference, Melbourne. 'Global health priorities in infection and immunity'. Held bi-annually. This conference brings together leading researchers in Australia and India to discuss major advances in addressing the global health priorities in infectious diseases.

2013 Chair, Gordon Research Conference on Malaria (GRC) 2013, Italy. "Molecular and Cell Biology of Malaria". Held bi-annually. The 2013 Malaria Gordon Research Conference in Tuscany, Italy will bring together leading international scientists from diverse disciplines to focus on the "Molecular and Cell Biology of Malaria". The Conference will present the most recent advances on the molecular and cellular aspects of the malaria parasite's basic biology, immunology, host-parasite-vector interactions and pathogenic mechanisms.

RESEARCH SUPPORT

International

- 1998 The Wellcome Trust (No. 052457/Z/97/Z) - \$150,000
Elucidation of protein function by biophysical analysis of the adhesive and mechanical properties of cells (Equipment grant)
CI's: R. L. Coppel, B. Cooke, B. S. Crabb and A. F. Cowman
- 2001 The Wellcome Trust (No. 064315/Z/01/Z/GG/SRD) - \$395,432
DNA analysis (Microarray) equipment
CI's: A. F. Cowman, E. Handman, L. Schofield, B. S. Crabb and T. Speed
- 2002 The Wellcome Trust (No. 066118/Z/01/Z) - \$1,789,822
X-ray crystallography equipment
CI's: P. Colman, J. M. Adams, T. P. J. Garret, B. S. Crabb and A. W. Burgess
- 2002 UNDP/World Bank/WHO Special Programme for Research and Training in Tropical Diseases (TDR) (ID No. A10620) - \$100,000
Development of *Plasmodium falciparum* transfection tools for the identification and validation of drug targets.
- 2000-05 Howard Hughes Medical Institute, USA (No. 55000622) ~120,000/yr
Functional analyses of *Plasmodium falciparum* merozoite surface proteins
- 2002-07 The Wellcome Trust Thematic Program Grant, UK (No. 066742/D/01/Z) – (BC component ~\$200,000/yr). Parasite-Host interactions in malaria pathogenesis and transmission. Professor Cowman and myself have pooled our funds from this grant (~\$400,000/yr) to establish the Malaria Functional Genomics Facility located at WEHI's Bundoora campus. This facility currently has 3 staff.
- 2004-09 National Institutes of Health RO1 grant, USA (AI 43906-06A1) (BC component ~\$120,000/yr). Human Immunity to MSP-1 in Kenya
Principal investigator J. Kazura; Co-investigator B. S. Crabb
- 2005-09 Howard Hughes Medical Institute, USA ~150,000/yr
Functional analyses of *Plasmodium falciparum* merozoite surface proteins
- 2007-10 Bill and Melinda Gates Foundation (grant# 43590). (US\$2.916 million) Preclinical prioritization of blood-stage malaria vaccine candidates. Project leader B. S. Crabb. Includes 7 other CI's from three centres (WEHI, Ehime University, Japan and University of Pennsylvania, USA)

- 2010 Bill and Melinda Gates Foundation Grand Challenges Exploration Initiative: Grant Number OPPI006873 (US\$100,000), GCE: A novel virulence-associated malaria drug target. CI P. R. Gilson, CoCI's B. S. Crabb, T. F. de Koning-Ward, I. Street and A. F. Cowman.
- National
- 1998-00 NHMRC Project Grant (No. 980651) - \$160,000
Functional analyses of *Plasmodium falciparum* merozoite antigens (sole CI)
- 1998-00 RIRDC Project Grant (No. UM-37A) - \$185,000
Development of a live attenuated vaccine for chicken anaemia virus
CI's: G. F. Browning, B. S. Crabb and P. C. Scott
- 1999-01 NHMRC Project Grant (No. 990220) - \$180,000
Study of *Plasmodium falciparum* var gene function using a tetracycline controlled gene expression system (sole CI)
- 2001-02 NHMRC Project Grant (No. 145710) - \$225,000
Functional analyses of the major merozoite surface protein of malaria parasites (now "rolled-into" the NHMRC Program Grant shown below) (Sole CI)
- 2001-03 Rural Industries R & D Corporation (RIRDC) Project Grant (UM-55A) - \$151,000
Further development of a live attenuated vaccine for chicken anaemia virus
CI's: G. F. Browning, B. S. Crabb and P. C. Scott
- 2002-05 ARC Linkage Grant (LP0218847) - \$213,000 (+ matching funds from CSL Ltd)
The molecular pathogenesis of equine rhinitis A virus: a major respiratory pathogen of horses (this grant was returned following failure of IP deal)
CI's: R. A. Strugnell, B. S. Crabb, T. M. Hinton and J. C. Ruby
- 2002-05 NHMRC Program Grant (No. 215201) - \$11.54 mil (BC component ~\$220,000/yr)
The molecular basis of host-pathogen interactions
CI's: A. F. Cowman, G. V. Brown, H. Billman-Jacobe, B. S. Crabb, E. Handman, M. McConville, G. McFadden, L. Schofield, and T. Speed
- 2006-10 NHMRC Program Grant (No 406601) - \$12,940,270 (BC component ~ \$364,820/yr) Host Parasite Interactions: disease, pathogenesis and control.
CI's: A. F. Cowman, G. V. Brown, B. S Crabb, E Handman, M McConville, G McFadden, L. Schofield, and T Speed
- 2007-09 NHMRC Project Grant (No 461231) - \$149,000/yr. Epigenetic control of antigenic variation in *Plasmodium falciparum*. CIA B. S. Crabb and CIB S. A. Ralph.
- 2010-12 NHMRC Project Grant (603720) - \$118,250/yr. Signalling during red blood cell invasion by *Plasmodium falciparum*. CIA BS Crabb, CIB PR Gilson & CIC K Leykauf
- 2011-16 NHMRC Program Grant (637406) - \$12,735,000 over 5 years. Interaction of malaria parasites with the host: disease, pathogenesis and control. CIA Professor Alan Cowman. Other investigators: BS Crabb, TP Speed, GI McFadden, L Schofield, JG Beeson
- 2014 – 17 NHMRC Project Grant (1068287) - \$180,854/yr. The structural resolution of PTEX, the transporter of virulence proteins and malaria parasites. CIA BS Crabb. Other investigators: T Beddoe, T de Koning-Ward, P Gilson.

Other project grants/support

- 1999-01 Teaching and Learning Multimedia and Educational Technology (TaLMET) Committee (University of Melbourne) Project Grant - \$67,000
Development of problem based tutorials that consolidate and coordinate currently available sequence analysis software (*DNAexplorer*)
CI's: R. A. Strugnell and B. S. Crabb
- 1998-00 CRC for Vaccine Technology (PhD student project support)
Development of live-attenuated vaccines for the control of equine rhinovirus 1 and 2 infections of horses. PhD scholarship "top-ups" (~\$5,000/annum) for Ms Tracey Hinton and Ms Simone Warner-Haddad plus \$15,000/annum for consumable items
- 2000 ANZ Charitable Trustees - \$10,000
Molecular genetic studies of the malaria parasite (Equipment grant)
- 2000-01 CRC for Vaccine Technology (PhD student) project support
Functional analysis of *Plasmodium falciparum* merozoite surface proteins. PhD scholarship "top-up" (~\$5,000/annum) for Ms Rebecca O'Donnell
- 2001-04 CRC for Vaccine Technology (PhD student) project support
Functional Analysis of *Plasmodium falciparum* merozoite surface proteins. PhD scholarship support (\$20,000) for Mr Paul Sanders and Ms Rachel Lundie

Equipment Grants awarded from University of Melbourne sources

- 1998 Beckman Optima TLX (Tabletop) Ultracentrifuge - \$73,000
CI's: B. S. Crabb, R. S. Strugnell and D. C. Jackson
- 1999 Digital Imaging Apparatus (Kodak Gel Documentation System) - \$20,000
CI's: B. S. Crabb and S Uren
- 2000 Radioisotope and Fluorescent Dye Imaging Apparatus (Phosphorimager) - \$139,250
CI's: B. S. Crabb, R. S. Strugnell, J. McCluskey and P. U. Cameron.

PUBLICATIONS

Primary Research Articles

1. **Crabb, BS** and Studdert, MJ (1990). Comparative studies of the proteins of equine herpesvirus 4 and 1 and asinine herpesvirus 3: antibody response of the natural hosts. *J Gen Virol* 71: 2033-2041.
2. **Crabb, BS**, Allen, GP and Studdert, MJ (1991). Characterisation of the major glycoproteins of equine herpesviruses 4 and 1 and asinine herpesvirus 3 using monoclonal antibodies. *J Gen Virol* 72: 2075-2082.
3. Jackson, DC, **Crabb, BS**, Pountourios, P, Tulip, WR and Laver, WG (1991). Three antibodies can bind simultaneously to each monomer of the tetramer of influenza virus neuraminidase and the trimer of influenza virus hemagglutinin. *Arch Virol* 116: 45-56.
4. **Crabb, BS**, Nagesha, HS and Studdert, MJ (1992). Identification of equine herpesvirus 4 glycoprotein G: a type-specific, secreted glycoprotein. *Virology* 190: 143-154.
5. Studdert, MJ, **Crabb, BS** and Ficorilli, N (1992). The molecular epidemiology of equine herpesvirus 1 abortion in Australasia 1975 to 1989. *Aust Vet J* 69: 104-111.
6. **Crabb, BS** and Studdert, MJ (1993). Epitopes of glycoprotein G of equine herpesviruses 4 and 1 located near the C-termini elicit type-specific antibody responses in the natural host. *J Virol* 67: 6332-6338.
7. Nagesha, HS, **Crabb, BS** and Studdert, MJ (1993). Analysis of the nucleotide sequence of five genes at the left end of the unique short region of EHV4. *Arch Virol* 128: 143-154.

8. Agius, CT, **Crabb, BS**, Telford, EAR, Davison, AJ, and Studdert, MJ. (1994). Comparative studies of the structural proteins and glycoproteins of equine herpesviruses 2 and 5. **J Gen Virol** 75: 2707-2717.
9. **Crabb, BS**, Drummer, HE, Reubel, GH, MacPherson, CM, Browning, GF, and Studdert, MJ (1995). A type-specific, serological test to distinguish antibodies to equine herpesviruses 4 and 1. **Arch Virol** 140: 245-258.
10. Huemer, HP, Nowotny, N, **Crabb, BS**, Meyer, H and Hübner, PH. (1995). GP13: A complement receptor induced by equine herpesviruses. **Virus Res** 37: 113-126.
11. Reubel, GH, **Crabb, BS** and Studdert, MJ (1995). Detection of equine herpesviruses 2 and 5 using the polymerase chain reaction. **Arch Virol** 140: 1049-1060.
12. Drummer, HE, MacPherson, CM, Reynolds, A, Studdert, MJ, and **Crabb, BS** (1995). Application of an equine herpesvirus 1 type-specific ELISA to the diagnosis and management of an EHV1 abortion outbreak. **Vet Rec** 136: 579-581.
13. Ficorilli, N, Studdert, MJ and **Crabb, BS** (1995). The nucleotide sequence of asinine herpesvirus 3 glycoprotein G shows that the donkey virus is closely related to equine herpesvirus 1. **Arch Virol** 140: 1653-1662.
14. **Crabb, BS** and Studdert, MJ (1995) Expression of small regions of equine herpesvirus 1 glycoprotein C in *Escherichia coli*. **Vet Microbiol** 46: 181-192.
15. Li, F, Browning, GF, Studdert, MJ and **Crabb, BS** (1996). *Equine rhinovirus 1* is more closely related to *foot-and-mouth disease virus* than to other picornaviruses. **Proc Natl Acad Sci USA** 93: 990-995.
16. **Crabb, BS** and Cowman, AF (1996). Characterisation of promoters and stable transfection by homologous and non-homologous recombination in *Plasmodium falciparum*. **Proc Natl Acad Sci USA** 93: 7289-7294.
17. Li, F, Drummer, HE, Studdert, MJ and **Crabb, BS** (1997). Diagnosis of non-cytopathic *equine rhinovirus 1* as a cause of acute febrile respiratory disease in horses. **J Clin Micro** 35: 937-943.
18. **Crabb, BS**, Cooke, BM, Reeder, JC, Waller, RF, Caruana, SR, Davern, KM, Wickham, M, Brown, GV, Coppel RL and Cowman AF (1997). Targeted gene disruption shows that knobs enable malaria-infected red cells to cytoadhere under physiological shear stress. **Cell** 89: 287-296.
19. **Crabb, BS**, Triglia, T, Waterkeyn, J and Cowman, AF (1997). Stable transgene expression in *Plasmodium falciparum*. **Mol Biochem Parasitol** 90: 131-144.
20. Drummer, HE, Studdert, MJ, and **Crabb, BS** (1998). Equine herpesvirus 4 glycoprotein G is secreted as a disulphide-linked homodimer and is present as two homodimeric forms in the virion. **J Gen Virol** 79: 1205-1231.
21. O'Donnell, RA, Saul, AJ, Cowman, AF and **Crabb, BS** (2000) Functional conservation of the malaria vaccine antigen MSP-1₁₉ across distantly related *Plasmodium* species. **Nature Med** 6: 91-95.
22. Ginns, CA, Benham, ML, Adams, LM, Whithear, KG, Bettelheim, KA, **Crabb, BS** and Browning, GF (2000). Colonisation of the respiratory tract by a virulent strain of avian *Escherichia coli* requires carriage of a conjugative plasmid. **Infect Immun** 68: 1535-1541.
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excellence innovation impact

FINANCIAL REPORT
FOR THE YEAR ENDED
31 DECEMBER 2015



Burnet Institute
Medical Research. Practical Action.

ANNUAL FINANCIAL REPORT 2015
For the year ended 31 December 2015

MACFARLANE BURNET INSTITUTE
FOR MEDICAL RESEARCH AND
PUBLIC HEALTH LTD
A.B.N. 49 007 349 984

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Directors' Report

The Directors present their report together with the consolidated financial statements of the Group comprising the Macfarlane Burnet Institute for Medical Research and Public Health Limited (Burnet Institute) and its subsidiaries (The Group) for the year ended 31 December 2015 and the Audit Report thereon.

Directors

The Directors of the Burnet Institute, all of whom act in an honorary capacity, along with the Executive Directors, who receive remuneration as paid members of staff, held office at any time during or since the end of the financial year are:

Mr Robert L Milne, *BEng (Civ), FIE (Aust), CP Eng*

Chair, Burnet Institute Board of Directors

Director since 2000

Chair, IP & Commercialisation Committee, Budget & Investment Committee and Engagement Committee

Former Chair, Cockram Corporation and subsidiaries

Mr Alastair Lucas AO, *BCom, FCPA*

Director from 1998 to July 2015

Former Chair, Investment Banking, Goldman Sachs Australia

Professor Brendan Crabb AC, *BSc(Hons), PhD*

Executive Director and CEO since 2008

Member, Engagement Committee, Budget and Investment Committee

Secretary, Research Advisory Committee

Chair, Victorian Chapter, Association of Australian Medical Research Institutes (AAMRI) Pty Ltd

Director, AMREP Animal Services Pty Ltd

Chair, Alfred Medical Research & Education Precinct Council

Chair, PATH/MVI Vaccine Science Portfolio Advisory Council (VSPAC), USA

Chair, Papua New Guinea Institute of Medical Research Buttressing Coalition

Member, Board of Research Australia

Member, Board of Management, Gene Technology Access Centre (GTAC), Victoria

Member, Scientific Advisory Board, Malaria Program, Wellcome Trust Sanger Institute, UK

Member, Scientific Advisory Board, Monash Institute of Pharmaceutical Sciences (MIPS)

Member, Scientific Advisory Board, Centre for Cancer Biology, SA Pathology and UniSA

Adjunct Professor, The University of Melbourne

Adjunct Professor, Monash University

Mr Robin Bishop, *LLB(Hons), BCom, BA*

Director since 2012

Member, Budget and Investment Committee

Head and Executive Director, Macquarie Capital Australia and New Zealand

Chairman of the National Gallery of Victoria Business Council

Professor Peter Colman, *BSc(Hons), PhD, FAA, FRS, FTSE*

Director since 2011

Chair, Research Advisory Committee; Member, IP & Commercialisation Committee

Head, Structural Biology Division, WEHI

Former Chief, Division of Biomolecular Engineering, CSIRO

Mr Ross Cooke, *BCom, ACA*

Director since 1998

Chair, Audit, Compliance and Risk Committee

Director and President, Wintringham, and Wintringham Housing Ltd

Mr John K Dowling, FREI, FAPI

Director since 2000, resigned December 2015

Member, Research Advisory Committee

Managing Partner, K L Dowling & Co

Associate Professor Helen Evans, BA, B Soc Admin

Director since 2015

Associate Professor (Hon) The Nossal Institute for Global Health, The University of Melbourne

Director, The Fred Hollows Foundation

Former Deputy CEO, GAVI, The Vaccine Alliance

Former Deputy Executive Director, The Global Fund to Fight AIDS, Tuberculosis and Malaria

Mr Benjamin Foskett, BBus, FAICD, Exec Fellow ANZSoG, Victorian Fellow of IPAA

Director since 2013

Member, Budget & Investment Committee

Chairman, Hong Kong BioPoint & Nanjing BioPoint

Executive Director, Pathway Services Pty Ltd

Member of Council, Victoria University, and Chair of Council's Strategy Committee

Vice President, Victorian Chapter of the Australia China Business Council (ACBC)

Director, National Board of the Australia Latin America Business Council (ALABC) and the Board's

Vice Chairman for Victoria

Mr Garry Hounsell, BBus(Acc), FCA, CPA, FAICD

Director since 2013

Chairman, PanAust Limited

Director, Dulux Group Limited

Director, Treasury Wine Estates Limited

Director, Spotless Holdings Limited

Member, Advisory Council, Rothschild Australia Limited

Member, Advisory Council, Charter Keck Cramer

Professor Sharon R Lewin, FRACP, PhD, FAAHMS

Director since 2014

Director, Doherty Institute for Infection and Immunity, The University of Melbourne

Consultant Physician, Department of Infectious Diseases, The Alfred

Adjunct Professor, Department of Infectious Diseases, Monash University

Former Head, Department of Infectious Diseases, Monash University, Melbourne

Former Co-head, Centre for Biomedical Research, Burnet Institute

Chair, Health Translation Advisory Committee, National Health and Medical Research Council of Australia

Member, Council, National Health and Medical Research Council of Australia

Member, Board, Snowdome Foundation

Chair, Ministerial Advisory Committee on Blood Borne Viruses and Sexually Transmitted Infections

Member, Strategic and Technical Advisory Committee, HIV Program, World Health Organisation

Professor Christina Mitchell, MBBS (Melb), PhD, FRACP

Director since 2011

Academic Vice-President and Dean,

Faculty of Medicine, Nursing and Health Sciences, Monash University

Ms Mary Padbury, BA, LLB

Director since 2011

Member, IP & Commercialisation Committee

Vice Chairman Ashurst

World Intellectual Property Organisation Domain Name Panelist

Director, Australasian Gastrointestinal Trials Group (GI Cancer Institute)

Member, Business Council of Australia
Member, Chief Executive Women
Member, Professional Standards Board for Patent and Trade Mark Attorneys
Member, Melbourne University Law School Foundation
Member, Victorian Legal Admissions Board

Ms Louise Pratt, BA

Director since 2014
Former Senator for Western Australia
Former member Legislative Council, Western Australia
Political consultant

Dr Jane A Thomason, BSW, MPH, PhD

Director since 2013, resigned February 2015
Chief Executive Officer and Director, Abt JTA
Adjunct Associate Professor, Australian Centre for International and Tropical Health & Nutrition (ACITHN), University of Queensland

Professor Michael Toole AM, MBBS, BMedSci, DTM&H

Executive Director since 2011
Member, Research Advisory Committee
Adjunct Professor, School of Public Health, Monash University
Member, Independent Monitoring Board of the Global Polio Eradication Initiative
Member, Funding Comm. Research for Health in Humanitarian Crises (DfID and Wellcome Trust)
Member, Public Health Scientific & Technical Expert Group, Secretariat of the Pacific Community
Founding Board Member, Médecins Sans Frontières Australia.

Ms Mary Waldron, BEcon &SS, FCPA

Director since 2011
Member, Audit, Compliance and Risk Committee
Managing Partner PwC, Reputation, Regulation and Risk
Member, PwC Australian Firm Executive Board
Chairman, Centre for Ethical Leadership Advisory Board
Board Member, Chartered Accountants Australia & New Zealand
Director, Opera Australia
Advisory Corporate Member, The Global Foundation
Corporate Council Member, European Australian Business Council
Member, Chief Executive Women
Member, Australian Institute of Company Directors

Mr Michael Ziegelaar, LLB (Hons), BEcon, LLM

Director since 2015
Head, Corporate (Melbourne) and Co-Head, Equity Capital Markets (Aust) Herbert Smith Freehills

Resigned as Director during 2015 or since year end:

Mr Alastair Lucas, Director from 1998 to July 2015
Mr John K Dowling, Director from 2000 to December 2015
Dr Jane A Thomason, Director from 2013 to February 2015

Directors' Meetings

The number of Directors' meetings (including meetings of Committees of Directors) and number of meetings attended by each of the Directors of the Burnet Institute during the financial year are:

Directors	Board of Directors		Audit, Compliance and Risk Committee		Engagement Committee		Budgeting and Investment Committee		IP and Commercialisation Committee		Research Advisory Committee	
	(A)	(B)	(A)	(B)	(A)	(B)	(A)	(B)	(A)	(B)	(A)	(B)
Alastair Lucas	2	1										
Brendan Crabb	5	5			0	0	5	3	1	0	0	0
Robin Bishop	5	5					5	5				
Peter Colman	5	4							1	1	0	0
Ross Cooke	5	3	6	6								
John Dowling	5	5									0	0
Helen Evans	2	2										
Ben Foskett	5	5					5	4				
Garry Hounsell	5	2										
Sharon Lewin	5	1										
Robert Milne	5	5			0	0	5	3	1	0		
Christina Mitchell	5	3										
Mary Padbury	5	1							1	1		
Louise Pratt	5	5										
Michael Toole	5	3									0	0
Mary Waldron	5	1	6	6								
Michael Ziegelaar	2	1										

(A) Meetings held – reflects the number of meetings held during the time the Director held office during the year.
(B) Meetings attended.

Principal Activities

The principal activities of the Group during the financial year were medical research and associated public health activities directed at the diagnosis, treatment and control of infectious diseases and cancer in humans. The Burnet Institute is a not-for-profit organisation combining programs of clinical and laboratory research in virology and immunology with epidemiology, social research and public health programs. The Burnet Institute has been endorsed as a charitable institution by the Australian Taxation Office. As a charitable not-for-profit organisation, the Burnet Institute does not pay dividends and all non-executive directors serve in an honorary capacity. There was no significant change in the nature of this activity during the year.

Operating Results

The Group recorded a deficit in the current year of \$1,787,661 (2014: deficit \$1,343,568). Depreciation and amortisation amounted to \$2,506,610 (2014: \$2,402,869). Income tax is not applicable. The 2015 result is after consolidating a \$918,818 deficit in the Biopoint subsidiary companies. 2015 is the first full year of operations for the Biopoint subsidiary companies with funding received in 2014.

Dividends

The Burnet Institute is limited by guarantee, has no share capital and declares no dividends.

Objectives

The principal objective of the Group remains improving the health of vulnerable communities via research, public health and education. Progress against this objective is reported on at each Board meeting (as well as other reporting mechanisms) using a variety of key indicators including the number of research grants awarded, research or project contracts won, fellowships awarded, publications, league table for Operational Infrastructure Support (Victorian State Government) and the progress reports and achievements made on ongoing grants and projects.

State of Affairs

The Group had a highly successful year with respect to publications and continued to perform well with NHMRC success, exceeding the national average for the third year in a row against an increasingly tough environment. Research highlights included the establishment of new companies (Biopoint and 360Biolabs), continued strong progress with HepSeeVax, Hepatitis C elimination trials, the Healthy Mothers Healthy Babies program in PNG and the recruitment of David Wilson's Optima-research team.

Financially, the result for 2015 was generally in line with budget. The property business continues to operate as a self-sustainable activity.

In the opinion of the Directors there were no other significant changes in the state of affairs of the Group that occurred during the financial year.

Events Subsequent to Balance Date

There has not arisen in the interval between the end of the financial year and the date of this Report any item, transaction or event of a material and unusual nature likely, in the opinion of the Directors, to affect significantly the operations of the Group, the results of those operations, or the state of the Group in future financial years.

Likely Developments

The Group continues to explore strategic and operational opportunities that will address the inherent challenge of generating the appropriate levels of indirect funding to support our core medical research and public health grants.

Directors' Benefits

Since the end of the previous financial year no Director of the Burnet Institute has received or become entitled to receive any benefit (other than a benefit included in the aggregate amount of remuneration received or due and receivable in their capacity as full time employees as shown in the accounts) because of a contract made by the Burnet Institute, its controlled entities or a related body corporate with the Director or with a firm of which the Director is a member, or with an entity in which the Director has a substantial interest.

Indemnification and Insurance of Officers

The Directors have not included details of the nature of the liabilities covered or the amount of the premiums paid in respect of the Directors' and Officers' liability and legal expenses insurance other than to confirm that a policy is in force.

Rounding Off

The Group is of a kind referred to in ASIC Class Order 98/100 dated 10 July 1998 and in accordance with that Class Order, amounts in the Financial Report and Directors' Report have been rounded off to the nearest thousand dollars, unless otherwise stated.

Lead Auditor's Independence Declaration under Section 307C of the Corporations Act 2001

The lead auditor's independence declaration is set out on page 8 and forms part of the Directors' Report for the year ended 31 December 2015.

Dated at Melbourne this 12th day of April 2016.

Signed in accordance with a resolution of the Directors.



Rob Milne
Director



Ross Cooke
Director



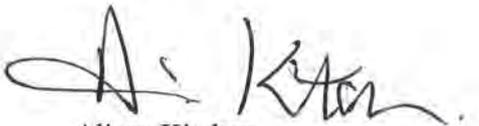
Lead Auditor's Independence Declaration under Section 307C of the Corporations Act 2001

To: the Directors of Macfarlane Burnet Institute for Medical Research and Public Health Ltd

I declare that, to the best of my knowledge and belief, in relation to the audit for the financial year ended 31 December 2015 there have been:

- (i) no contraventions of the auditor independence requirements as set out in the *Corporations Act 2001* in relation to the audit; and
- (ii) no contraventions of any applicable code of professional conduct in relation to the audit.


KPMG



Alison Kitchen
Partner

Melbourne

12 April 2016

Consolidated Statement of Comprehensive Income

(FOR THE YEAR ENDED 31 DECEMBER)

	NOTE	2015 \$'000	2014 \$'000
Operating revenue	3	34,630	37,097
Other income	3	4,420	4,486
Research and development laboratory consumables expenses		(2,756)	(3,182)
Personnel expenses	4	(20,575)	(19,828)
Depreciation and amortisation expenses		(1,222)	(1,118)
Depreciation and amortisation expenses – property management		(1,285)	(1,285)
Property management operating costs		–	(169)
Research and development non-laboratory expenses		(9,601)	(9,250)
Other expenses from ordinary activities	5	(4,345)	(5,344)
Results from operating activities		(734)	1,407
Financial income	7	362	442
Financial expenses	7	(1,416)	(3,193)
Net finance costs		(1,054)	(2,751)
Surplus/(Deficit)Before Income Tax		(1,788)	(1,344)
Income tax expense		–	–
Surplus/(Deficit)After Income Tax		(1,788)	(1,344)
Surplus/(Deficit)After Income Tax Attributable to:			
Members of the Company		(1,593)	(1,340)
Non-controlling interests		(195)	(4)
Surplus/(Deficit)After Income Tax		(1,788)	(1,344)
Other comprehensive income			
Foreign currency translation differences – foreign operations		150	58
Total Comprehensive Income/(Loss) for the Period		(1,638)	(1,286)
Total Comprehensive Income/(Loss) Attributable to:			
Members of the Company		(1,475)	(1,286)
Non-controlling interests		(163)	–
Total Comprehensive Income/(Loss) for the Period		(1,638)	(1,286)

The Consolidated Statement of Comprehensive Income is to be read in conjunction with the Notes to the Consolidated Financial Statements set out on pages 13 to 31.

Consolidated Statement of Financial Position

(AS AT 31 DECEMBER)

	NOTE	2015 \$'000	2014 \$'000
CURRENT ASSETS			
Cash and cash equivalents	18(i)	17,133	19,378
Trade and other receivables	8	2,910	2,370
Inventories		28	33
Investments	9	–	265
Other Assets - prepayments		481	456
TOTAL CURRENT ASSETS		20,552	22,502
NON-CURRENT ASSETS			
Trade and other receivables	8	1,818	1,779
Investments	9	2,265	2,265
Property, plant and equipment	10	62,525	63,991
TOTAL NON-CURRENT ASSETS		66,608	68,035
TOTAL ASSETS		87,160	90,537
CURRENT LIABILITIES			
Trade and other payables		2,294	3,252
Borrowings	11	496	480
Current tax liabilities - FBT	12	75	99
Provisions	13	2,838	2,753
Deferred income	14	11,933	10,749
Derivatives	15	–	112
TOTAL CURRENT LIABILITIES		17,636	17,445
NON-CURRENT LIABILITIES			
Borrowings	11	33,450	33,946
Provisions	13	1,162	1,376
Deferred income	14	9,176	10,004
Derivatives	15	3,034	3,426
TOTAL NON-CURRENT LIABILITIES		46,822	48,752
TOTAL LIABILITIES		64,458	66,197
NET ASSETS		22,702	24,340
EQUITY			
Retained earnings		1,111	4,318
Building reserve		21,131	19,517
Foreign Currency Translation Reserve		225	75
Non-controlling interests		235	430
TOTAL EQUITY		22,702	24,340

The Consolidated Statement of Financial Position is to be read in conjunction with the Notes to the Consolidated Financial Statements set out on pages 13 to 31.

The Macfarlane Burnet Institute for Medical Research and Public Health Limited is a signatory to the Australian Council for International Development (ACFID) Code of Conduct. The Code requires members to meet high standards of corporate governance, public accountability and financial management. In accordance with the ACFID code of conduct, the Institute had nil balances in the following categories as at the end of the financial year which are required to be disclosed separately:

- Current Assets: assets held for sale, and other financial assets;
- Non-Current Assets: other financial assets, investment property, intangibles, and other non-current assets;
- Current Liabilities: other financial liabilities and other current liabilities;
- Non-Current Liabilities: trade and other payables, other financial liabilities and other non-current liabilities.

Consolidated Statement of Changes in Equity

(AS AT 31 DECEMBER)

	-----Attributable to Members-----				Total Equity \$'000
	Retained Profits \$'000	Building Reserve \$'000	Foreign Currency Translation Reserve \$'000	Non- Controlling Interests \$'000	
Balance at 1 January 2014	3,320	19,939	17	–	23,276
Total other comprehensive income for the period	–	–	58	–	58
Acquisition of non-controlling interest	1,916	–	–	434	2,350
Operating surplus/(deficit)	(918)	(422)	–	(4)	(1,344)
Total comprehensive income for the period	998	(422)	58	430	1,064
Balance at 31 December 2014	4,318	19,517	75	430	24,340
Total other comprehensive income for the period	–	–	150	–	150
Operating surplus/(deficit)	(3,207)	1,614	–	(195)	(1,788)
Total comprehensive income for the period	(3,207)	1,614	150	(195)	(1,638)
Balance at 31 December 2015	1,111	21,131	225	235	22,702

The Consolidated Statement of Changes in Equity is to be read in conjunction with the Notes to the Consolidated Financial Statements set out on pages 13 to 31.

Consolidated Statement of Cash Flows

(FOR THE YEAR ENDED 31 DECEMBER)

	NOTE	2015 \$'000	2014 \$'000
Cash Flows from Operating Activities			
Cash receipts in the course of operations		40,659	44,022
Cash payments in the course of operations		(40,119)	(41,011)
Cash generated from operating activities		540	3,011
Interest received		362	442
Interest paid		(1,921)	(2,028)
Net cash (used in) / provided by operating activities	18(ii)	(1,019)	1,425
Cash Flows from Investing Activities			
Payments for property, plant and equipment		(1,124)	(786)
Proceeds from disposal of property, plant and equipment		113	110
Disposal of investment		265	–
Net cash used in investing activities		(746)	(676)
Cash Flows from Financing Activities			
Payment of finance lease liabilities		(180)	(169)
Proceeds from sale of subsidiary shares to non-controlling entity		–	2,350
Repayment of borrowings		(300)	(300)
Net cash (used in) / provided by financing activities		(480)	1,881
Net (decrease) / increase in cash held		(2,245)	2,630
Cash at the beginning of the financial year		19,378	16,748
Cash at the End of the Financial Year	18(i)	17,133	19,378

The Consolidated Statement of Cash Flows is to be read in conjunction with the Notes to the Consolidated Financial Statements set out on pages 13 to 31.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1. Reporting Entity

The Macfarlane Burnet Institute for Medical Research and Public Health Limited (Burnet Institute) is a company limited by guarantee and is domiciled in Australia. The address of the Burnet Institute's registered office is 85 Commercial Road, Melbourne, Victoria, Australia 3004. The consolidated financial statements of the Burnet Institute as at and for the year ended 31 December 2015 comprise the Burnet Institute and its subsidiaries (together referred to as the 'Group' and individually as 'Group entities'). The Group is a not-for-profit entity and is primarily involved in medical research and associated public health activities directed at the diagnosis, treatment and control of infectious diseases and cancer in humans.

1.1. Basis of Preparation

(i) Statement of compliance

The consolidated financial statements are general purpose financial statements which have been prepared in accordance with Australian Accounting Standards (AASBs) adopted by the Australian Accounting Standards Board (AASB) and the Corporations Act 2001. The consolidated financial statements were authorised for issue by the Board of Directors on 12 April 2016.

(ii) Basis of measurement

The consolidated financial statements have been prepared on the historical cost basis except for the following material items in the Statement of Financial Position:

- derivative financial instruments are measured at fair value; and
- income securities are measured at fair value.

The method used to measure fair values is discussed further in Note 1.2.

During the preparation of the Financial Report the Directors made an assessment of the ability of the Group to continue as a going concern, which included an assessment of the continuity of business operations, realisation of assets and settlement of liabilities in the normal course of business. The Directors also assessed the loan interest and principal repayments, swap and cap arrangements, and rental income over the next five to ten years and the obligations associated with the various loan covenants. The Directors also considered the likelihood of financial support and funding from the State and Federal Governments on which the Group is dependent for its ongoing operations. As a result of their review they are of the opinion that the going concern basis of accounting is appropriate in the preparation of the Financial Report.

(iii) Functional and presentation currency

These consolidated financial statements are presented in Australian dollars, which is the functional currency of the Parent Entity. The Burnet Institute is of a kind referred to in ASIC Class Order 98/100 dated 10 July 1998 and in accordance with that Class Order, all financial information presented in Australian dollars has been rounded to the nearest thousand unless otherwise stated.

(iv) Use of estimates and judgements

The preparation of the consolidated financial statements in conformity with AASBs requires management to make judgements, estimates and assumptions that affect the application of accounting policies and the reported amounts of assets, liabilities, income and expenses. Actual results may differ from these estimates.

Estimates and underlying assumptions are reviewed on an ongoing basis. Revisions to accounting estimates are recognised in the period in which the estimates are revised and in any future periods affected.

Information about assumptions and estimation uncertainties that have a significant risk of resulting in a material adjustment within the next financial year are included in the following Notes:

- Note 1.11 – Impairment
- Note 13 – Provisions

(v) Changes in accounting policies

The principal standards that have been adopted for the first time in these financial statements are:

- AASB 2014 – 1 Amendments to Australian Accounting Standards – Part C: Materiality

This is part of the AASB's program to delete references to AASB 1031 in all Australian Accounting Standards prior to final withdrawal of AASB 1031.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1.1. Basis of Preparation (cont)

1.2 Financial Instruments

(i) Non-derivative financial assets

The Group initially recognises loans and receivables on the date that they are originated. All other financial assets (including assets designated at fair value through profit or loss) are recognised initially on the trade date at which the Group becomes a party to the contractual provisions of the instrument.

The Group derecognises a financial asset when the contractual rights to the cash flows from the asset expire, or it transfers the rights to receive the contractual cash flows on the financial asset in a transaction in which substantially all the risks and rewards of ownership of the financial asset are transferred. Any interest in transferred financial assets that is created or retained by the Group is recognised as a separate asset or liability.

Financial assets and liabilities are offset and the net amount presented in the Statement of Financial Position when, and only when, the Group has a legal right to offset the amounts and intends either to settle on a net basis or to realise the asset and settle the liability simultaneously.

The Group has the following non-derivative financial assets: financial assets at fair value through profit or loss and loans and receivables.

Available for Sale Financial assets at fair value through profit or loss

A financial asset is classified as at fair value through profit or loss if it is classified as held for trading or is designated as such upon initial recognition. Financial assets are designated at fair value through profit or loss if the Group manages such investments and makes purchase and sale decisions based on their fair values in accordance with the Group's documented risk management or investment strategy. Attributable transaction costs are recognised in profit or loss when incurred. Financial assets at fair value through profit or loss are measured at fair value, and changes therein are recognised in profit or loss.

Loans and receivables

Loans and receivables are financial assets with fixed or determinable payments that are not quoted in an active market. Such assets are recognised initially at fair value plus any directly attributable transaction costs. Subsequent to initial recognition loans and receivables are measured at amortised cost using the effective interest method, less any impairment losses. Loans and receivables comprise cash and cash equivalents and trade and other receivables.

Cash and cash equivalents

Cash and cash equivalents comprise cash balances and at call deposits with original maturities of three months or less.

(ii) Non-derivative financial liabilities

The Group initially recognises financial liabilities on the trade date, which is the date that the Group becomes a party to the contractual provisions of the instrument. The Group derecognises a financial liability when its contractual obligations are discharged or cancelled or expire.

Financial assets and liabilities are offset and the net amount presented in the Statement of Financial Position when, and only when, the Group has a legal right to offset the amounts and intends either to settle on a net basis or to realise the asset and settle the liability simultaneously.

The Group classifies non-derivative financial liabilities into the other financial liabilities category. Such financial liabilities are recognised initially at fair value plus any directly attributable transaction costs. Subsequent to initial recognition, these financial liabilities are measured at amortised cost using the effective interest rate method.

Financial liabilities comprise loans and borrowings and trade and other payables.

(iii) Derivative financial instruments

The Group has chosen to hedge its interest rate risk exposure on the ACS2 loan facility by cap and swap transactions (refer Note 15). These are the only derivative financial instruments that the Group is involved in and are considered by the Directors to be a prudent means to manage risk associated with fluctuations in interest rates.

The derivative financial instruments do not qualify for hedge accounting. Derivatives are recognised initially at fair value, attributable transaction costs are recognised in the Statement of Comprehensive Income when incurred. Subsequent to initial recognition, derivatives are measured at fair value and changes are recognised immediately in the Statement of Comprehensive Income. The fair value of interest rate swaps and caps is based on lender quotes.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1.3 Inventories

Inventories are comprised of laboratory materials and are valued at the lower-of-cost and net realisable value. The cost of inventories is based on the first-in first-out principle, and includes expenditure incurred in acquiring the inventories and other costs incurred in bringing them to their existing location and condition.

1.4 Property, Plant and Equipment

(i) Owned assets

Items of property, plant and equipment are measured at cost less accumulated depreciation (see below) and accumulated impairment losses (see accounting policy Note 1.11). Cost includes expenditure that is directly attributable to the acquisition of the asset. Purchased software that is integral to the functionality of the related equipment is capitalised as part of that equipment. Where parts of an item of property, plant and equipment have different useful lives, they are accounted for as separate items of property, plant and equipment.

(ii) Leased assets

Leases in terms of which the Group assumes substantially all the risks and rewards of ownership are classified as finance leases. The owner-occupied property acquired by way of finance lease is stated at an amount equal to the lower of its fair value and the present value of the minimum lease payments at inception of the lease, less accumulated depreciation (see below) and impairment losses (see accounting policy Note 1.11). The cost of self-constructed assets under lease arrangements includes the cost of materials and direct labour, any other costs directly attributable to bringing the assets to a working condition for their intended use, the costs of dismantling and removing the items and restoring the site on which they are located, and capitalised borrowing costs (see below). Lease payments are accounted for as described in accounting policy Note 1.8(ii).

Other leases are operating leases and are not recognised in the Statement of Financial Position.

(iii) Subsequent costs

The Group recognises in the carrying amount of an item of property, plant and equipment the cost of replacing part of such an item when that cost is incurred if it is probable that the future economic benefits embodied within the item will flow to the Group and the cost of the item can be measured reliably. All other costs are recognised in the Statement of Comprehensive Income as an expense when incurred.

(iv) Depreciation

Depreciation is based on the cost of an asset less its residual value. Significant components of individual assets are assessed and if a component has a useful life that is different from the remainder of that asset, that component is depreciated separately.

Depreciation is recognised in profit or loss on a straight-line basis over the estimated useful lives of each component of an item of property, plant and equipment. Leased assets are depreciated over the shorter of the lease term and their useful lives unless it is reasonably certain that the Group will obtain ownership by the end of the lease term. The depreciation rates used for the current and comparative years are as follows:

Buildings	2% to 2.5%
Plant and equipment	10% to 20%
Computer equipment	33.3%
Motor vehicles	20%

Depreciation methods, useful lives and residual values are reviewed at each reporting date and adjusted if appropriate.

1.5 Employee Benefits

(i) Defined contribution plans

A defined contribution plan is a post-employment benefit plan under which an entity pays fixed contributions into a separate entity and will have no legal or constructive obligation to pay further amounts. Obligations for contributions to defined contribution plans are recognised as an employee benefits expense in the Statement of Comprehensive Income in the periods during which services are rendered by employees.

(ii) Long-term service benefits

The Group's net obligation in respect of long-term service benefits, other than defined benefit plans, is the amount of future benefit that employees have earned in return for their service in the current and prior periods. The obligation is calculated using expected future increases in wage and salary rates including related on-costs and expected settlement dates, and is

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1.5 Employee Benefits (cont)

(ii) Long-term service benefits (cont)

discounted using the rates attached to high quality Corporate bond rates at the balance date which have maturity dates approximating to the terms of the Group's obligations.

(iii) Wages, salaries, annual leave, sick leave and non-monetary benefits

Liabilities for employee benefits for wages, salaries, annual leave and sick leave that are expected to be settled within 12 months of the reporting date represent present obligations resulting from employees' services provided to reporting date, are calculated at undiscounted amounts based on remuneration wage and salary rates that the Group expects to pay as at reporting date including related on-costs, such as workers compensation insurance.

Non-accumulating non-monetary benefits, such as medical care, housing, cars and free or subsidised goods and services, are expensed based on the net marginal cost to the Group as the benefits are taken by the employees.

Termination benefits are recognised as an expense when the Group is demonstrably committed, without realistic possibility of withdrawal, to a formal detailed plan to either terminate an employee before the normal retirement date, or to provide termination benefits as a result of an offer made to encourage voluntary redundancy. Termination benefits for voluntary redundancies are recognised as an expense if the Group has made an offer encouraging voluntary redundancy, it is probable that the offer will be accepted, and the number of acceptances can be estimated reliably.

1.6 Revenue Recognition

(i) Contract Research and Development (R&D) revenue/consultancies

R&D contract income is recognised in the Statement of Comprehensive Income to the extent that R&D expenditure to which it relates has been incurred. Until this time, funds drawn down in accordance with the relevant R&D funding agreement are recognised in the Statement of Financial Position as deferred income.

(ii) Grant income

Reciprocal grants

Grants received on the condition that specified services be delivered, or conditions fulfilled, are considered reciprocal. Such grants are initially recognised in the Statement of Financial Position as deferred income and revenue is recognised as services are performed or conditions are fulfilled.

Non-reciprocal grants

Where a grant is received where there is no performance obligation or return obligation, revenue is recognised when the grant is received or receivable.

(iii) Government contributions towards capital works (capital grants)

Government contributions to assist in the acquisition or construction of non-current assets are recognised as an asset and revenue when all conditions of the grants have been satisfied.

(iv) Donations

Donations are recognised as income in the Statement of Comprehensive Income, as and when received, unless they are for specific purposes in which case they will be recognised when the conditions are fulfilled.

(v) Interest and other income

Interest and other income is recognised in the Statement of Comprehensive Income as it accrues, taking into account the effective yield on the financial asset.

(vi) Asset sales

Gains and losses on disposal of an item of property, plant and equipment are determined by comparing the proceeds from disposal with the carrying amount of property, plant and equipment and are recognised as other income or other expenses in the Statement of Comprehensive Income.

(vii) Rental income

Rental income is recognised as income in the Statement of Comprehensive Income on a straight-line basis over the term of the lease.

1.7 Finance Income and Expenses

Finance income comprises interest income of funds invested and gains on revaluation of investments. Interest income is recognised as it accrues in the Statement of Comprehensive Income, using the effective interest method.

Finance expenses comprise interest expense on borrowings and changes in the fair value of derivative financial instruments. All interest expense on borrowings is recognised in the Statement of Comprehensive Income, using the effective interest method.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1.8 Expenses

(i) Operating lease payments

Payments made under operating leases are recognised in the Statement of Comprehensive Income on a straight-line basis over the term of the lease. Lease incentives received are recognised in the Statement of Comprehensive Income as an integral part of the total lease expense and spread over the lease term.

(ii) Finance lease payments

Minimum lease payments made under finance leases are apportioned between the finance charge and the reduction of the outstanding liability. The finance charge is allocated to each period during the lease term so as to produce a constant periodic rate of interest on the remaining balance of the liability.

(iii) Borrowing costs

Borrowing costs are expensed as incurred unless they relate to qualifying assets. Qualifying assets are assets which take more than 12 months to get ready for their intended use or sale. In these circumstances, borrowing costs are capitalised to the cost of the assets. Where funds are borrowed specifically for the acquisition, construction or production of a qualifying asset, the amount of borrowing costs capitalised are those incurred in relation to those borrowings, net of any interest earned on those borrowings. Where funds are borrowed for the acquisition of a qualifying asset, borrowing costs are capitalised using a weighted average.

1.9 Income Tax

The Burnet Institute is exempt from paying income tax under Section 50-5 of the Income Tax Assessment Act, 1997.

1.10 Goods and Services Tax

Revenue, expenses and assets are recognised net of the amount of goods and services tax (GST), except where the amount of GST incurred is not recoverable from the taxation authority. In these circumstances, the GST is recognised as part of the cost of acquisition of the asset or as part of the expense. Receivables and payables are stated with the amount of GST included. The net amount of GST recoverable from, or payable to, the Australian Taxation Office (ATO) is included as a current asset or liability in the Statement of Financial Position. Cash flows are included in the Statement of Cash Flows on a gross basis. The GST components of cash flows arising from investing and financing activities which are recoverable from, or payable to, the ATO are classified as operating cash flows.

1.11 Impairment

(i) Non-derivative financial assets

A financial asset not carried at fair value through profit or loss is assessed at each reporting date to determine whether there is objective evidence that it is impaired. A financial asset is impaired if objective evidence indicates that a loss event has occurred after the initial recognition of the asset, and that the loss event had a negative effect on the estimated future cash flows of that asset that can be estimated reliably.

Objective evidence that financial assets are impaired can include default or delinquency by a debtor, restructuring of an amount due to the Group on terms that the Group would not consider otherwise, indications that a debtor or issuer will enter bankruptcy and adverse changes in the payment status of borrowers or issuers in the Group.

The Group considers evidence of impairment for receivables at both a specific asset and collective level. All individually significant receivables are assessed for specific impairment. All individually significant receivables found not to be specifically impaired are then collectively assessed for any impairment that has been incurred but not yet identified. Receivables that are not individually significant are collectively assessed for any impairment by grouping together receivables with similar risk characteristics.

In assessing collective impairment the Group uses historical trends of the probability of default, timing of recoveries and the amount of loss incurred, adjusted for management's judgement as to whether current economic and credit conditions are such that the actual losses are likely to be greater or less than suggested by historical trends.

An impairment loss in respect of a financial asset measured at amortised cost is calculated as the difference between its carrying amount and the present value of the estimated future cash flows discounted at the asset's original effective interest rate. Losses are recognised in profit or loss and reflect in an allowance account against receivables. Interest on the impaired asset continues to be recognised. When a subsequent event (e.g. repayment by a debtor) causes the amount of impairment loss to decrease, the decrease in impairment loss is reversed in the profit or loss.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1.11 Impairment (cont)

(ii) Non-financial assets

The carrying amounts of non-financial assets other than inventories are reviewed at each reporting date to determine whether there is any indication of impairment. If any such indication exists, then the asset's recoverable amount is estimated. An impairment loss is recognised if the carrying amount of an asset or its related cash-generating unit (CGU) exceeds its estimated recoverable amount.

The recoverable amount of an asset or CGU is the greater of its value in use and its fair value less costs to sell. In assessing value in use, the estimated future cash flows are discounted to their present value using a pre-tax discount rate that reflects current market assessments of the time value of money and the risks specific to the asset or CGU. For the purpose of impairment testing, assets that cannot be tested individually are grouped together into the smallest group of assets that generate cash inflows from continuing use that are largely independent of the cash inflows of other assets or CGU.

Impairment losses are recognised in profit or loss. Impairment losses recognised in respect of CGUs are recognised as a reduction in the carrying amounts of the assets in the CGU on a pro-rata basis.

Impairment losses recognised in prior periods are assessed at each reporting date for indications that the loss has decreased or no longer exists. An impairment loss is reversed if there has been a change in estimates used to determine the recoverable amount. An impairment loss is reversed only to the extent that the asset's carrying amount does not exceed the carrying amount that would have been determined, net of depreciation or amortisation, if no impairment loss had been recognised.

Under AASB 136, the Group can elect to have the carrying amount of non-current assets' impairment reviewed at each reporting date using a depreciated replacement cost valuation. If any such indication exists, the asset will be tested for impairment by comparing its recoverable amount to its carrying amount. Reversal of a previously recorded impairment will be recorded in the Statement of Comprehensive Income where appropriate. In respect of not-for-profit entities, where the future economic benefits of an asset are not primarily dependent on the asset's ability to generate net cash inflows and where the entity would, if deprived of the asset, replace its remaining future economic benefits, value in use shall be determined as the depreciated replacement cost of the asset.

1.12 Comparatives

Where applicable, comparatives have been adjusted to disclose them on the same basis as current period figures.

1.13 Segment Reporting

The Group determines and presents operating segments based on the information that is internally presented to the CEO, who is the Group's chief operating decision maker. An operating segment is a component of the Group that engages in business activities from which it may earn revenues and incur expenses, including revenues and expenses that relate to transactions with any of the Group's other components. All operating segments' operating results are regularly reviewed by the Group's CEO to make decisions about resources to be allocated to the segment and assess its performance, and for which discrete financial information is available. Segment results that are reported to the CEO include items directly attributable to a segment as well as those that can be allocated on a reasonable basis. Segment capital expenditure is the total cost incurred during the period to acquire property, plant and equipment.

1.14 Basis of Consolidation

(i) Business Combinations

The Group accounts for business combinations using the acquisition method when control is transferred to the Group. The consideration transferred in the acquisition is generally measured at fair value, as are the identifiable net assets acquired. Any goodwill that arises is tested annually for impairment. Any gain on a bargain purchase is recognised in profit or loss immediately. Transaction costs are expensed as incurred, except if related to the issue of debt or equity securities.

The consideration transferred does not include amounts related to the settlement of pre-existing relationships. Such amounts are generally recognised in profit or loss.

Any contingent consideration payable is measured at fair value at the acquisition date. If the contingent consideration is classified as equity, then it is not remeasured and settlement is accounted for within equity. Otherwise, subsequent changes in the fair value of the contingent consideration are recognised in profit or loss.

(ii) Non-controlling interests (NCI)

NCI are measured at their proportionate share of the acquiree's identifiable net assets at the acquisition date. Changes in the Group's interest in a subsidiary that do not result in a loss of control are accounted for as equity transactions.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

1.14 Basis of Consolidation (cont)

(iii) Subsidiaries

Subsidiaries are entities controlled by the Group. The financial statements of subsidiaries are included in the consolidated financial statements from the date on which control commences until the date on which control ceases.

(iv) Loss of control

When the Group loses control over a subsidiary, it derecognises the assets and liabilities of the subsidiary, and any related NCI and other components of equity related to the subsidiary. Any resulting surplus or deficit is recognised in the Statement of Comprehensive Income. Any interest retained in the former subsidiary is measured at fair value when control is lost.

(v) Transactions eliminated on consolidation

Intra-group balances and transactions, and any unrealised income and expenses arising from intra-group transactions, are eliminated.

1.15 Foreign Currency Transactions

(i) Foreign currency transactions

Transactions in foreign currencies are translated to the respective functional currencies of Group companies at exchange rates at the dates of the transactions.

Monetary assets and liabilities denominated in foreign currencies are translated to the functional currency at the exchange rate at the reporting date. Non-monetary assets and liabilities that are measured at fair value in a foreign currency are translated to the functional currency at the exchange rate when the fair value was determined. Non-monetary items that are measured based on historical cost in a foreign currency are translated using the exchange rate at the date of the transaction. Foreign currency differences are generally recognised in the Statement of Comprehensive Income.

(ii) Foreign operations

The assets and liabilities of foreign operations, including goodwill and fair value adjustments arising on acquisition, are translated into Australian dollars at the exchange rates at the reporting date. The income and expenses of foreign operations are translated into Australian dollars at exchange rates at the dates of the transactions.

Foreign currency differences are recognised in Other Comprehensive Income and accumulated in the translation reserve, except to the extent that the translation difference is allocated to NCI.

When a foreign operation is disposed of in its entirety or partially such that control, significant influence or joint control is lost, the cumulative amount in the translation reserve related to that foreign operation is reclassified to profit or loss as part of the gain or loss on disposal. If the Group disposes of part of its interest in a subsidiary but retains control, then the relevant proportion of the cumulative amount is reattributed to NCI.

When the settlement of a monetary item receivable from or payable to a foreign operation is neither planned nor likely to occur in the foreseeable future, the foreign currency differences arising from such items form part of the net investment in the foreign operation. Accordingly, such differences are recognised in Other Comprehensive Income and accumulated in the translation reserve in equity.

2. New Standards and Interpretations Not Yet Adopted

There are no standards, amendments to standards and interpretations which have been identified as those which may impact the entity in the period of initial application.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

	2015	2014
	\$'000	\$'000
3. Revenue		
Grants – operating	15,165	15,989
Grants – Victorian Government operational infrastructure support	2,906	3,229
Donations	3,820	4,694
Contract R&D consultancies	11,673	12,095
Contract Services	564	554
Other income – miscellaneous	502	536
Operating Revenue	34,630	37,097
Rental income	3,591	3,657
Prepaid rent amortisation	829	829
Other Income	4,420	4,486
4. Personnel Expenses		
Salary and wages	18,723	17,548
Employee entitlements	1,852	2,280
	20,575	19,828
5. Other Expenses		
Net loss on disposal of property, plant and equipment	–	2
Operating lease rental expenses	81	81
Facilities and laboratory support	1,941	2,220
Other administration	2,323	3,041
	4,345	5,344
6. Auditors' Remuneration		
Audit Service		
KPMG Australia:	\$	\$
Audit and review of financial reports	50,000	50,000
Other regulatory audit services	–	8,760
	50,000	58,760

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

	2015 \$'000	2014 \$'000
7. Net Financing Costs		
Interest income	362	442
Financial Income	362	442
Increase/(Decrease) in fair value of derivatives	505	(1,165)
Interest expense	(1,921)	(2,028)
Financial Expenses	(1,416)	(3,193)
Net Financing Costs	(1,054)	(2,751)

	NOTE	2015 \$'000	2014 \$'000
8. Trade and Other Receivables			
Current			
Trade receivables		2,910	2,465
Less: allowance for doubtful debts		–	(95)
	25	2,910	2,370
Non-Current			
Lease receivables	25	1,818	1,779

9. Investments

Current Investments			
• Investment in shares		–	265
Non-Current Investments			
• Investment in AMREP AS Pty Ltd – animal facility 306 fully paid shares at cost		2,265	2,265
• Fully paid ordinary shares in Ascend Biopharmaceuticals Pty Ltd valued at cost		–	–
	25	2,265	2,265

As at 31 December 2015, the Group held 8.2% (2014: 12.5%) of Ascend Biopharmaceuticals Pty Ltd (formerly IgAvax Pty Ltd). The amount of investment in this company was \$nil and the contribution to the surplus of the Group was \$nil.

	Leasehold buildings \$'000	Plant and equipment \$'000	Total \$'000
10. Property, Plant and Equipment			
Cost			
Balance at 1 January 2014	71,888	10,110	81,998
Acquisitions	–	786	786
Disposals	–	(706)	(706)
Balance at 31 December 2014	71,888	10,190	82,078
Balance at 1 January 2015	71,888	10,190	82,078
Acquisitions	–	1,124	1,124
Disposals	–	(731)	(731)
Balance at 31 December 2015	71,888	10,583	82,471

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

10. Property, Plant and Equipment (cont)	Leasehold buildings \$'000	Plant and equipment \$'000	Total \$'000
Depreciation			
Balance at 1 January 2014	(8,958)	(7,320)	(16,278)
Depreciation charge for the year	(1,713)	(690)	(2,403)
Disposals	–	594	594
Balance at 31 December 2014	(10,671)	(7,416)	(18,087)
Balance at 1 January 2015	(10,671)	(7,416)	(18,087)
Depreciation charge for the year	(1,712)	(795)	(2,507)
Disposals	–	648	648
Balance at 31 December 2015	(12,383)	(7,563)	(19,946)
Carrying amounts			
At 1 January 2014	62,930	2,790	65,720
At 31 December 2014	61,217	2,774	63,991
At 1 January 2015	61,217	2,774	63,991
At 31 December 2015	59,505	3,020	62,525

The existing leasehold within the Burnet Tower is subject to a 50 year lease ending in 2060. The Alfred Centre Stage 2 (ACS2) leasehold building floors are subject to a 40 year lease for levels 4 to 6 (ending 2050) and a 50 year lease for level 7 (ending 2060).

The Group completed the construction of the ACS2 project which comprises 14,490 square metres of net lettable area contained in levels 4 to 7 of the ACS2 project. The original carrying value of the Group's interest in the ACS2 project was based on the March 2010 valuation of the future cash flows, discounted to their present value. Depreciation has been recorded on this asset since it was first recognised.

11. Borrowings	2015 \$'000	2014 \$'000
This note provides information about the contractual terms of the Group's interest-bearing loans and borrowings which are measured at amortised cost.		
Current		
Finance lease liabilities	46	180
Current portion of secured bank loans (ACS2)	450	300
	496	480
Non-current		
Finance lease liabilities	–	46
Non-Current portion of secured bank loans (ACS2)	33,450	33,900
	33,450	33,946

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

11. Borrowings (cont)

Finance lease liabilities are payable as follows:

31 December 2015 (\$'000)	Minimum Lease Payments	Interest	Principal
Less than one year	47	1	46
Between one and five years	–	–	–
More than five years	–	–	–
	47	1	46

31 December 2014 (\$'000)	Minimum Lease Payments	Interest	Principal
Less than one year	189	9	180
Between one and five years	47	1	46
More than five years	–	–	–
	236	10	226

Financing arrangements

Bank loans

Interest rate on finance lease liabilities was 6.27%(2014: 6.27%). During 2008, the Institute entered into an arrangement with its bank to borrow \$35.25 million at the prevailing 90-day BBSW plus 0.85 per cent line fee. This bank loan is secured by a fixed and floating charge over all of the Burnet Institute's assets. The loan is for a period of ten years effective May 2011. Refer Note 15 for details of the swap and cap associated with this loan. The Burnet Institute is compliant with all bank covenants. One of the bank covenants requires the Institute to maintain an investment balance of at least \$5 million, which as at 31 December 2015 and 31 December 2014 is all invested in short-term deposits.

12. Current Tax Liabilities	NOTE	2015 \$'000	2014 \$'000
FBT Provision	25	75	99

There are no income tax liabilities as the Institute is a tax exempt entity.

13. Provisions

Current		
Liability for long-service leave		1,869
Liability for annual leave		969
		2,838
Non-current		
Liability for long-service leave		1,162
		1,376

The present values of employee entitlements not expected to be settled within twelve months of balance date have been calculated using the following weighted averages:

Assumed rate of increase in wage and salary rates	3.1%	3.1%
Average discount rate	3.7%	2.4%
Settlement term (years)	9	9
Number of employees		
Number of employees at year end (FTE)	167	168
Superannuation plans		

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

13. Provisions (cont)

The Group contributes to various accumulation style superannuation plans. Employer contributions are at the rate required to satisfy its obligations under the Superannuation Guarantee legislation, currently 9.5% of salary. The Group may make additional contributions by agreement with employees.

	2015	2014
	\$'000	\$'000

14. Deferred Income

Current		
Other grants	10,757	9,132
Deferred donations	347	788
Rentals received in advance	829	829
	11,933	10,749

General research operating grants are deferred where there is an obligation to repay amounts which are not spent in accordance with the conditions specified.

Non-current		
Rentals received in advance	9,176	10,004

The rentals received in advance relate to: The Baker IDI Heart and Diabetes Institute's contribution to the ACS2 project which covers a 21 year lease of part of level 4; and to Monash University in respect of space given up in the Burnet Tower in exchange for 13 years rent free space in the ACS2 project.

15. Derivatives

Current		
Interest rate cap	–	112
Non-current		
Interest rate swap	3,034	3,426

The Institute entered into an interest rate cap transaction in 2008 whereby \$27.2 million of the secured bank loan to finance ACS2 is subject to a capped BBSW rate of 7.5% per annum for a fixed rate of 0.58% until 31 December 2015. In 2010, the Institute entered into an interest rate swap transaction whereby \$20.4 million of the secured bank loan to finance ACS2 is fixed at an interest rate of 6.025% (before line fees) until 30 September 2020. The cap and swap transactions were taken out to provide long-term protection from exposure to rising interest rates.

16. Capital and Reserves

Building reserve

The building reserve relates to building and relocation grants received and expenses incurred in connection with the premises occupied by the Institute. Where a building is permanently vacated the related reserve will be derecognised.

Foreign Currency Translation Reserve

The Foreign Currency Translation Reserve comprises all foreign currency differences arising from the translation of the financial statements of foreign operations.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

17. Operating Leases	NOTE	2015 \$'000	2014 \$'000
Leases as lessee			
Non-cancellable operating lease rentals payable:			
Less than one year		189	81
Between one and five years		299	289
More than five years		–	–
		488	370
Leases as lessor			
The Institute leases out space that it controls to third parties.			
Non-cancellable operating lease rentals receivable:			
Less than one year		3,660	3,601
Between one and five years		11,945	12,860
More than five years		41,944	44,794
		57,549	61,255

During the year \$4.4 million was recognised as rental income in the Statement of Comprehensive Income (2014: \$4.5 million)

18. Notes to the Consolidated Statement of Cash Flows

(i) Reconciliation of cash

For the purposes of the Statement of Cash Flows, cash includes cash on hand and at bank and short-term deposits at call, net of outstanding overdrafts. Cash as at the end of the financial year as shown in the Statement of Cash Flows is reconciled to the related items in the Statement of Financial Position as follows:

Cash	25	17,133	19,378
------	----	--------	--------

(ii) Reconciliation of operating surplus/(deficit) after income tax to net cash from operating activities:

Cash flows from operating activities

Surplus/(deficit) for the period		(1,788)	(1,344)
Adjustments for:			
Depreciation	10	2,507	2,403
Amortisation of rent in advance	4	(829)	(829)
Lease revenue not billed		(39)	(2)
Increase in provision for doubtful debts		–	(95)
Change in fair value of derivatives	7	(505)	1,163
Donation of investments		–	(265)
Amounts set aside in provisions		(129)	553
(Gain)/Loss on disposal of property, plant and equipment		(28)	2
Foreign currency translation		150	58
Operating surplus/(deficit) before changes in working capital and provisions		(661)	1,644
(Increase)/decrease in trade and other receivables		(540)	465
(Increase)/decrease in inventories		5	3
(Increase)/decrease in other assets		(25)	(133)
(Decrease)/increase in grant deferred income		1,184	503
(Decrease)/increase in trade and other payables		(958)	(1,054)
(Decrease)/increase in current tax liabilities		(24)	(3)
Net Cash from Operating Activities		(1,019)	1,425

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

19. Remuneration of Key Management Personnel	2015	2014
	\$	\$
Short-term employee benefits	1,517,000	1,476,000
Termination benefits	–	–
	1,517,000	1,476,000

20. Particulars in Relation to Controlled Entities

The Group has an interest in six subsidiary companies which were originally formed to manage R&D projects in partnership with other parties. Other than intellectual property these companies have no material assets or liabilities. As there is no reliable measure of the value of this intellectual property, the carrying value of the investment in the following companies is recorded as \$nil. The Group also has acquired 3 companies in China. The results of these Chinese companies are recorded in these financial statements.

Entity	Interest Held		Country of Incorporation
	2015 %	2014 %	
Macfarlane Burnet Syndicate No. 1 Pty Ltd	100	100	Australia
Macfarlane Burnet Syndicate No. 2 Pty Ltd	100	100	Australia
Hep R&D Pty Ltd	100	100	Australia
Atract Pty Ltd	100	100	Australia
Hepgenics Pty Ltd	100	100	Australia
Picoral Pty Ltd	100	100	Australia
Burnet Institute (Hong Kong) Limited	100	100	Hong Kong
Biopoint Nanjing Diagnostic Technology Co. Limited	78.75	78.75	China
Biopoint Hong Kong Limited	78.75	78.75	Hong Kong

During 2014 a third party contributed equity to Biopoint Hong Kong Limited which resulted in them owning 21.25% of the shares in Biopoint Hong Kong Limited and thus a 21.25% interest in Biopoint Nanjing Diagnostic Technology Co. Limited, and Burnet recording a gain from their dilution of \$2.35 million which was recorded in equity. The consolidated result for the Biopoint subsidiary companies was a deficit of \$918k, of which \$195k is attributable to the non-controlling interest.

21. Related Party Transactions

The Group purchased services from AMREP AS Pty Ltd during the year on normal commercial terms amounting to \$113,831 (2014: \$167,210). During the year various Directors made donations to the Group totalling \$77,700 (2014: \$121,100). During the year the Group received fees totalling \$499,525 (2014: \$1,163,541) from a Director related entity.

22. Subsequent Events

There has not arisen in the interval between the end of the financial year and the date of this Report any item, transaction or event of a material and unusual nature likely, in the opinion of the Directors, to significantly affect the operations of the Group, the results of those operations, or the state of the Group in future financial years.

23. Segment Information

The Group has two reportable segments, as described below, which represent the two main focuses of the Group. For each segment the CEO reviews internal management reports on a regular basis. The Group operates out of one geographical area, Australia, with projects being implemented in various areas, including Australia, Asia, Africa and the Pacific. The following summary describes the operations in each of the Group's reportable segments.

- Property Management – Includes rental income and expenses associated with the space leased
- Medical Research and Public Health – Includes activities around the conduct of medical research and the provision of public health work.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

23. Segment Information (cont)

Information regarding the results of each reportable segment are included below. Performance is measured based on segment surplus or deficit in addition to a number of non-financial metrics.

Information about reportable segments (\$'000)	Property Management		Medical Research & Public Health		Total	
	2015	2014	2015	2014	2015	2014
External revenues	4,420	4,486	34,630	37,097	39,050	41,583
Inter-segment revenue	–	–	–	–	–	–
Interest income	228	252	134	190	362	442
Interest expense	(1,921)	(2,028)	–	–	(1,921)	(2,028)
Depreciation and amortisation	(1,285)	(1,285)	(1,222)	(1,118)	(2,507)	(2,403)
Reportable segment profit/(loss)	1,614	(422)	(3,402)	(922)	(1,788)	(1,344)
Other material non-cash items						
• Fair value adjustment of derivative	505	(1,165)	–	–	505	(1,165)
Reportable segment assets	53,710	54,396	33,450	36,141	87,160	90,537
Investment in associates	–	–	2,265	2,265	2,265	2,265
Capital expenditure	–	–	1,124	786	1,124	786
Reportable segment liabilities	47,358	49,003	17,100	17,194	64,458	66,197

24. Financial Risk Management

Overview

The Group has exposure to the following risks from its use of financial instruments:

- credit risk
- liquidity risk
- market risk
- interest-rate risk

This note presents information about the Group's exposure to each of the above risks, its objectives, policies and processes for measuring and managing risk, and the management of capital. Further quantitative disclosures are included throughout this Financial Report. The Board of Directors has overall responsibility for the establishment and oversight of the risk management framework and is also responsible for developing and monitoring risk management policies. Risk management policies are established to identify and analyse the risks faced by the Group, to set appropriate risk limits and controls, and to monitor risks and adherence to limits. Risk management policies and systems are reviewed regularly to reflect changes in market conditions and the Group's activities. The Group, through its training and management standards and procedures, aims to develop a disciplined and constructive control environment in which all employees understand their roles and obligations. The Board oversees how management monitors compliance with the Group's risk management policies and procedures and reviews the adequacy of the risk management framework in relation to the risks faced by the Group.

Credit risk

Credit risk is the risk of financial loss to the Group if a customer or counterparty to a financial instrument fails to meet its contractual obligations, and arises principally from cash on deposit and from the Group's receivables from customers and investment securities. In relation to credit risk arising from cash on deposit, the Group only deposits with highly rated counterparties as approved by the Board.

Trade and other receivables

The Group's exposure to credit risk is influenced mainly by the individual characteristics of each debtor. Work is only undertaken for another entity once a contract for services has been signed. The demographics of the Group's debtor base, including the default risk of the industry and country in which debtors operate, have less of an influence on credit risk. Approximately 43% (2014: 45%) of the Group's revenue is attributable to transactions with a single debtor, being the Commonwealth Government. However, geographically there is only concentration of credit risk in Australia. Most of the Group's debtors have been transacting with the Group for a number of years, and losses have occurred infrequently. In monitoring debtor credit risk, debtors' ageing profiles are reviewed as well as any existence of previous financial difficulties. The Group has established an allowance for impairment that represents its estimate of possible losses in respect of trade and other receivables. This allowance is the aggregate of specific possible losses from identified debtors.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

24. Financial Risk Management (cont)

Investments

The Group limits its exposure to credit risk by only investing in liquid securities and only with counterparties that have a solid credit rating in consultation with the Board and other advisors. Management does not expect any counterparty to fail to meet its obligations.

Liquidity risk

Liquidity risk is the risk that the Group will not be able to meet its financial obligations as they fall due. The Group's approach to managing liquidity is to ensure, as far as possible, that it will always have sufficient liquidity to meet its liabilities when due, under both normal and stressed conditions, without incurring unacceptable losses or risking damage to the Group's reputation.

Management monitor cash flow requirements on a daily basis to optimise its cash return on investments. Typically the Group ensures that it has sufficient cash on demand to meet expected operational expenses for a period of 30 days, including the servicing of financial obligations without the need to draw down from its investments; this excludes the potential impact of extreme circumstances that cannot reasonably be predicted, such as natural disasters. In addition, the Group maintains the following line of credit:

- \$250,000 overdraft facility that is secured against the assets of the Group. Interest would be payable at the base lending rate plus 0.75% margin.

Capital risk management

During 2008, the Burnet Institute entered into an arrangement with its bank to borrow \$35.25 million at the prevailing 90-day BBSW plus 0.85 per cent line fee. This bank loan is secured by a fixed and floating charge over all of the Burnet Institute's assets. The loan translated from a construction facility to a term facility in May 2011 and is for a period of 10 years. Refer to Note 15 for details of the swap and cap associated with this loan. Principle is repaid over the course of the term facility according to an agreed schedule as set out in the Loan Agreement. Management monitor the loan facility on a regular basis to ensure that all loan covenants and reporting requirements are met.

Market risk

Market risk is the risk that changes in market prices, such as foreign exchange rates, interest rates and equity prices will affect the Group's income or the value of its holdings of financial instruments. The objective of market risk management is to manage and control market risk exposures within acceptable parameters, while optimising the return. The Group can enter into derivatives in order to manage market risks in consultation with the Board and other advisors. As explained above, the only derivative financial instruments the Group is currently involved in are a cap and a swap transaction (Note 15) to manage potential interest rate fluctuations on the ACS2 loan facility. Group risk is also minimised due to limited holdings of foreign currency and equities.

Interest rate risk

The Group has adopted a policy to mitigate its interest rate risk by entering into interest rate swaps and caps to manage its overall exposure. Refer Note 15.

25. Financial Instruments

Credit risk

Exposure to credit risk

The carrying amount of the Group's financial assets represents the maximum credit exposure. The Group's maximum exposure to credit risk at the reporting date was:

Carrying amount	NOTE	2015 \$'000	2014 \$'000
Investments	9	2,265	2,530
Trade and Other Receivables	8	4,728	4,149
Cash and cash equivalents	18(i)	17,133	19,378
		24,126	26,057

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

25. Financial Instruments (cont)

The Group's maximum exposure to credit risk for trade and other receivables at the reporting date by geographic region was:

	2015 \$'000	2014 \$'000
Carrying amount		
Australia	4,349	3,899
Asia	274	87
North America	105	161
South America	–	–
Europe	–	2
	4,728	4,149

Impairment losses:

The ageing of the Group's trade receivables at the reporting date was:

Carrying amount		
Not past due	4,184	3,760
Past due 0-30 days	248	130
Past due 31-60 days	59	120
More than 60 days past due	237	234
Less allowance for doubtful debts	–	(95)
	4,728	4,149

There was no impairment loss recognised on investments. The allowance accounts in respect of trade receivables are used to record impairment losses unless the Group is satisfied that no recovery of the amount owing is possible; at that point the amounts considered irrecoverable are written off against the financial asset directly.

Liquidity risk

The following are the contractual maturities of financial liabilities measured at amortised cost, including estimated interest payments and excluding the impact of netting agreements:

31 December 2015 (\$'000)	Carrying amount	Contractual cash flows	6 mths or less	6–12 mths	1–2 years	2–5 years	More than 5 years
Non-derivative financial liabilities							
Secured bank loan	33,900	46,775	1,371	1,514	2,996	8,727	32,167
Trade and other payables	2,294	2,294	2,294	–	–	–	–
Current tax liabilities	75	75	75	–	–	–	–
Finance lease liabilities	46	47	47	–	–	–	–
	36,315	49,191	3,787	1,514	2,996	8,727	32,167
31 December 2014 (\$'000)							
Non-derivative financial liabilities							
Secured bank loan	34,200	49,539	1,382	1,382	2,885	11,723	32,167
Trade and other payables	3,252	3,252	3,252	–	–	–	–
Current tax liabilities	99	99	99	–	–	–	–
Finance lease liabilities	226	236	94	94	48	–	–
	37,777	53,126	4,827	1,476	2,933	11,723	32,167

Contractual cash flows for the secured bank loan are estimated assuming an average interest rate of 7.21% over the life of the loan with principal repayments as set out in the loan agreement.

Notes to the Consolidated Financial Statements

(FOR THE YEAR ENDED 31 DECEMBER)

25. Financial Instruments (cont)

Foreign currency risk

The Group is exposed to foreign currency risk on revenue, purchases and bank accounts that are denominated in a currency other than the functional currency of the Parent Entity. The currency giving rise to this risk is primarily US dollars (USD). At any point in time the Group has a natural hedge on USD transactions as it holds a USD bank account to pay USD denominated expenses.

Sensitivity analysis

For the year ended 31 December 2015, it is estimated that a general increase of one percentage point in interest rates would have decreased the Group's deficit by approximately \$27,000 (2014: \$28,000).

As at 31 December 2015, it is estimated that a general increase of ten percentage points in the value of the AUD against other foreign currencies would have increased the Group's deficit by approximately \$100,832 (2014: \$28,470).

Fair values

The fair value of relevant recognised assets and liabilities are approximate to the values shown in the Statement of Financial Position.

Fair value hierarchy

The table below analyses financial instruments carried at fair value, by valuation method. The different levels have been defined as follows:

Level 1: quotes prices (unadjusted) in active markets for identical assets or liabilities

Level 2: inputs other than quoted prices included within Level 1 that are observable for the asset or liability, either directly (i.e. as prices) or indirectly (i.e. derived from prices)

Level 3: inputs for the asset or liability that are not based on observable market data (unobservable inputs).

	Level 1	Level 2	Level 3	Total
31 December 2015 (\$'000)				
Derivative financial liabilities	–	3,034	–	3,034
31 December 2014 (\$'000)				
Share investment	265	–	–	265
Derivative financial liabilities	–	3,538	–	3,538

	2015 \$'000	2014 \$'000
--	----------------	----------------

26. Parent Entity Disclosures

Result of the parent entity

Surplus/(deficit) for the period	(900)	(859)
Other comprehensive income	–	–

Total comprehensive income for the period	(900)	(859)
---	-------	-------

Financial position of the parent entity at year end

Current assets	19,406	20,467
Total assets	85,941	88,502
Current liabilities	17,561	17,292
Total liabilities	64,383	66,044

Total equity of the parent entity comprising of:

Retained earnings	427	2,941
Building reserve	21,131	19,517
Total equity	21,558	22,458

As at, and throughout, the financial year ending 31 December 2015 the parent entity of the Group was the Burnet Institute.

Burnet Institute International Development Activities Operating Statement (FOR THE YEAR ENDED 31 DECEMBER)

	2015 \$'000	2014 \$'000
Revenue		
Donations and gifts – monetary	84	203
Donations and gifts – non-monetary	–	–
Bequests and legacies	–	–
Grants:		
• DFAT	6,163	7,282
• Other Australian	1,108	645
• Other Overseas	3,626	3,806
Investment Income	–	–
Other Income	1,562	1,554
Revenue for international political or religious proselytisation programs	–	–
Total revenue	12,543	13,490
Expenditure		
International aid and development programs expenditure		
International programs:		
• Funds to international programs	11,575	12,441
• Program support costs	808	1,007
Community education	–	–
Fundraising costs:		
• Public	–	–
• Government, multilaterals and private	–	–
Accountability and administration	400	358
Non-monetary expenditure	–	–
Total international aid and development programs expenditure	12,783	13,806
Expenditure for international political or religious proselytisation programs	–	–
Domestic programs expenditure	702	197
Total expenditure	13,485	14,003
(Shortfall)/ Excess of revenue over expenditure	(942)	(513)

Notes:

No single appeal or form of fundraising for a designated purpose generated 10% or greater of the Burnet Institute's total income.

This operating statement represents IFRS financial information and is extracted specifically for the operations of the Centre for International Health as required by the ACFID Code of Conduct.

The deficit represents the Burnet Institute's additional financial contribution to the program.



The Macfarlane Burnet Institute for Medical Research and Public Health Limited is a signatory to the Australian Council for International Development Code of Conduct. The Code requires members to meet high standards of corporate governance, public accountability and financial management. More information about the ACFID Code of Conduct can be obtained from ACFID.

www.acfid.asn.au

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Directors' Declaration

(FOR THE YEAR ENDED 31 DECEMBER)

1. In the opinion of the Directors of the Burnet Institute:

(a) the Financial Statements and Notes, set out on pages 9 to 31, are in accordance with the Corporations Act 2001, including:

(i) giving a true and fair view of the financial position of the Group at 31 December 2015 and of its performance, as represented by the results of its operations and its cash flows, for the year ended on that date; and

(ii) complying with Australian Accounting Standards and the Corporations Regulations 2001; and

(b) there are reasonable grounds to believe that the Group will be able to pay its debts as and when they become due and payable.

Dated at Melbourne this

12th day of April 2016

Signed in accordance with a resolution of the Directors:

Rob Milne

Director



Ross Cooke

Director





Independent auditor's report to the members of Macfarlane Burnet Institute for Medical Research and Public Health Ltd

Report on the financial report

We have audited the accompanying financial report of Macfarlane Burnet Institute for Medical Research and Public Health Ltd (the Company), which comprises the consolidated statement of financial position as at 31 December 2015, and consolidated statement of comprehensive income, consolidated statement of changes in equity and consolidated statement of cash flows for the year ended on that date, notes 1 to 26 comprising a summary of significant accounting policies and other explanatory information, the Burnet Institute International Development Activities Operating Statement, and the Directors' declaration of the Group comprising the Company and the entities it controlled at the year's end or from time to time during the financial year.

Directors' responsibility for the financial report

The Directors of the Company are responsible for the preparation of the financial report that gives a true and fair view in accordance with Australian Accounting Standards and the *Corporations Act 2001* and for such internal control as the Directors determine is necessary to enable the preparation of the financial report that is free from material misstatement whether due to fraud or error.

Auditor's responsibility

Our responsibility is to express an opinion on the financial report based on our audit. We conducted our audit in accordance with Australian Auditing Standards. These Auditing Standards require that we comply with relevant ethical requirements relating to audit engagements and plan and perform the audit to obtain reasonable assurance whether the financial report is free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial report. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial report, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation of the financial report that gives a true and fair view in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by the Directors, as well as evaluating the overall presentation of the financial report.

We performed the procedures to assess whether in all material respects the financial report presents fairly, in accordance with the *Corporations Act 2001* and Australian Accounting Standards, a true and fair view which is consistent with our understanding of the Group's financial position and of its performance.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.



Independence

In conducting our audit, we have complied with the independence requirements of the *Corporations Act 2001*.

Auditor's opinion

In our opinion:

(a) the financial report of the Group is in accordance with the *Corporations Act 2001*, including:

- (i) giving a true and fair view of the Group's financial position as at 31 December 2015 and of its performance for the year ended on that date; and
- (ii) complying with Australian Accounting Standards and the Corporations Regulations 2001.

KPMG

Alison Kitchen
Partner

Melbourne

12 April 2016



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Medical Research. Practical Action.

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OVERSEAS OFFICES

Burnet has offices or representatives in Myanmar, Papua New Guinea, China (Tibet Autonomous Region) and Lao PDR. For more information contact us at info@burnet.edu.au or call +61 3 9282 2111.

**IN THE FAIR WORK COMMISSION
4 YEARLY REVIEW OF MODERN AWARDS
AWARD STAGE – GROUPS 3 AND 4**

Matter Nos: AM2014/281 (*Professional Employees Award 2010*)
AM2015/6 (Education Group)

Respondents: The Association of Australian Medical Research Institutes (**AAMRI**) and the Association for Professional Engineers, Scientists and Managers, Australia (**APESMA**)

WITNESS STATEMENT OF DEBRA O'CONNOR

I, **DEBRA O'CONNOR** of _____, **STATE** as follows:

1. I make this statement on my own behalf and, where relevant, in my capacity as Executive Manager and Deputy Director of the National Aging Research Institute (**NARI**).
2. I am authorised to make this statement on behalf of NARI.
3. I make this statement from my own knowledge unless I indicate otherwise. Where I have received information from a third party, I believe that information to be true unless I state otherwise.

My background

4. I am a social worker and manager by training. In this regard, I hold a Bachelor of Social Work from the University of Melbourne, a Masters of Social Work from the University of Melbourne and a Masters of Business Leadership. I am also a graduate of the Australian Institute of Company Directors.
5. I have been the Executive Manager and a Deputy Director (Operations) of NARI since October 2007. Prior to holding this position, I held the following positions:

2000 – 2007 Deputy CEO, Dianella Community Health

1996 – 2000 Lecturer in health sciences and health promotions, La Trobe University

Prior to 1996 Various positions in direct social work practice, consultancies and teaching.

6. My full curriculum vitae is appended to this Statement as Annexure **DO-1**.

7. As a social worker I worked primarily in primary health.
8. As Deputy Director of Dianella Community Health, I managed six teams, administrative and clinical. These included dental, Child and family health, counselling, aged care, service co-ordination and others.
9. In my current and former roles, I have had experience working with medical research institutes, community health services, hospitals, residential and rehabilitation services and universities.

Background of NARI

10. NARI is an independent MRI recognised as a leading research institute into ageing. Research includes falls and balance, pain, dementia, physical activity, healthy ageing, public and preventative health, and health systems evaluation. It also conducts a broad range of other clinical and psychosocial research in areas such as cognitive decline, elder abuse, dementia, physical activity and lifestyle issues and mental health.
11. The primary object of NARI, as set out in its constitution, is to "*conduct research into all aspects of ageing including, but not limited to, the cause, prevention and cure of disease, and the relief of sickness and suffering, associated with ageing*".
12. NARI was formally opened in 1976, when it was provided with offices, research rooms, a ward for clinical research and educational programs, and support service facilities by Mount Royal Hospital.
13. Since 2012, NARI has been a public company limited by guarantee, and governed by a constitution pursuant to the *Corporations Act 2001* (Cth). Prior to that it was an incorporated association under Victorian legislation.
14. NARI is currently located on the grounds of the Royal Melbourne Hospital.

My role at NARI

15. I am currently the acting Director of NARI. My ongoing role is that of Executive Manager overseeing all operational, governance and regulatory requirements, including research governance.

Employees at NARI

16. NARI currently employs 33 employees as of 18 May 2016, including:
 - (a) 21 researchers;

- (b) 5 clerical employees (including a receptionist, accounts and payroll, a PA and two administrative assistants);
 - (c) 2 physiotherapists; and
 - (d) 3 employees in human resources (**HR**), finance and management (including one in HR, one Chief Financial Officer and one Development and Fundraising Consultant).
17. Employees at NARI are employed subject to the *National Ageing Research Institute Ltd Enterprise Agreement 2015*.
18. The research employees at NARI come from a wide range of health related disciplines, including psychology, aged care, cultural studies, social work, health sciences, applied science, human movement, health education, exercise physiology social sciences, and physiotherapy..

Diverse activities of NARI

19. NARI is primarily involved in research into positive ageing. However, it is also engaged in significant translational activities associated with this research, such as advocacy and public health promotion and professional education.
20. NARI conducts evaluation of the programs and guidelines and assists with the development of guidelines, for health service providers, NARI also undertakes consultancies with agencies and government bodies, for example, designing resources to support clinicians and allied health professionals working in hospitals with older people.
21. NARI is a member of advocacy bodies such as the Council on the Ageing Victoria (**COTA Vic**) and the Australian Association of Gerontology (**AAG**). NARI conducts regular media interviews to promote wellbeing of older people and also to combat ageism. It is an active member of peak ageing research and service provision bodies such as AAG.
22. An example of NARI's public health promotion activities is that it has developed the Healthy Ageing Quiz. This enables people to assess their health status and change their behaviours accordingly. NARI also develops information materials, self-management tools, website etc.
23. NARI conducts professional development workshops. These are based on research findings and evidence around areas of research expertise, eg falls prevention, elder abuse. Workshops are interactive and non-assessable. They do not contribute to any formal qualifications but are designed for upskilling and informing health professionals working with older people.

24. The research of NARI is published in both peer reviewed journals and what is known as "grey literature", such as the Australian Journal of Ageing. Grey literature also includes the translation of research into guidelines relating to, eg, best practice for falls prevention, the benefits of physical activity, or assisting elderly people who are culturally or linguistically diverse.
25. This material is typically developed for and used by practitioners in gerontology and ageing. This type of publication is not peer reviewed, is less academic or scholarly than peer reviewed journals and does not contribute to the Excellence in Research (**ERA**) measure used by universities.

Supervision of research higher degree students

26. Some NARI researchers currently supervise (through appointment or honorary appointments with a university) approximately 13 research higher degree (**RHD**) students. Of NARI's 21 research employees, 6 perform a co-supervisory role.
27. NARI researchers co-supervise students but are unable to assume primary supervision status. NARI is unable to enrol students.
28. NARI negotiates with universities such as the University of Melbourne and the Australian Catholic University to bestow the title of "Associate Professor" or "Professor" upon some of its staff.

Affiliation with Royal Melbourne Hospital

29. NARI was originally founded as an initiative of Mount Royal Hospital (now Royal Melbourne Hospital (**RMH**)) and the University of Melbourne. It is co-located on the Royal Park Hospital Campus site.
30. NARI offers joint clinical and research based seminars, provide a research advisory function to RMH and may recruit research participants from RMH clinics.
31. RMH is also a foundation partner of the Melbourne Ageing Research Collaboration which NARI convenes.
32. Under a lease agreement RMH provides telephone, security, and parking facilities to NARI, and NARI attends regular site meetings to discuss issues relating to the Royal Park Campus site.

Affiliation with University of Melbourne

33. NARI is listed on the University statute books as an affiliated research institute.

34. At present NARI has an agreement with the University enabling the University to administer some category one research funding. This is an agreement extended to University of Melbourne affiliated Institutes to capture a more favourable return on funding.

Research collaborations

35. NARI collaborates with a wide range of health services, not-for-profits, advocacy groups and universities in order to support its mission of furthering clinical research and health promotion focused on healthy ageing.
36. NARI's research collaborators include COTA Vic, Alzheimer's Australia Victoria, Benetas, Brotherhood of St Lawrence, Freemasons, City of Whittlesea, and many others.
37. In 2014 NARI convened a meeting of a number of organisations to determine interest in forming a broader coalition of local health and aged care services, universities, research institutes, industry and peak groups to support the integration of ageing research findings into practice and to build research groups, share research knowledge, streamline common projects and to undertake new research. Eleven partner organisations form the Melbourne Ageing Research Collaboration (**MARC**), with support from Victorian State Government Department of Health.
38. In addition to NARI, MARC partner organisations include:
- (a) Alzheimer's Australia Victoria;
 - (b) Austin Health;
 - (c) Australian Catholic University;
 - (d) Inner North West Melbourne Medicare Local;
 - (e) Mercy Health;
 - (f) Royal Melbourne Hospital;
 - (g) Northern Health;
 - (h) St Vincent's Hospital;
 - (i) Telstra;
 - (j) University of Melbourne; and
 - (k) Western Health.

Regulation of NARI

39. As a corporation limited by guarantee and a health promotion charity, NARI is required to report to the Australian Securities and Investments Commission (**ASIC**) and the Australian Charities and Not-for-profits Commission (**ACNC**).
40. NARI receives recurrent funding from the Victorian Department of Health and Human Services (**DHHS**). NARI meets with officers of DHHS 3- 4 times per year to discuss planning for future projects and to report on achievements against former plans.

Funding arrangements

41. In the financial year ending 30 June 2015, NARI received approximately:
 - (a) 50% of its revenue from state government grants and contracts (through DHHS), for which universities are ineligible;
 - (b) 30% of its revenue from federal government grants and contracts;
 - (c) 9% of its revenue from philanthropic grants and contracts;
 - (d) 6% of its revenue from other contract research;
 - (e) 2% of its revenue from donations and miscellaneous
 - (f) 2% of its revenue from interest; and
 - (g) 2% of its revenue from professional education and training.
42. Of the funding NARI receives from the Victorian Government, approximately two thirds is competitive grants, non-guaranteed and limited tenders and non-recurrent funding for directed research.
43. Further details of NARI funding are set out in an extract of NARI's 2014-2015 Annual Report, attached to this Statement as Annexure **DO-2**.

DEBRA O'CONNOR

3 June 2016

Annexure DO-1 - Curriculum Vitae

C V - D E B R A O ' C O N N O R

ph
mob

Qualifications:

BA, BSW, MSW (MELB)

MBL (RMIT),

GAICD

Memberships:

Australian Institute of Company Directors

Australian Research Managers Society (ARMS)

Australian College of Health Service Executives

RECENT CAREER SUMMARY

NATIONAL AGEING RESEARCH INSTITUTE (NARI) OCTOBER 2007-CURRENT

Executive Manager -Deputy Director (Operations), Company Secretary

Responsible for corporate division and education/professional development units

- board business and strategic aspects of the organisation;
- research administration, management and governance
- strategic negotiation and liaison with external stakeholders (including universities, health services, research bodies, government and others)
- developing partnerships and collaborations
- negotiations with funding bodies and contract management
- professional education and professional development services
- student support
- organisational policies and development
- human resources and Employer Agreement
- fundraising and development
- internal systems development
- Peak body liaison – AAG, IFA and ILC
- risk management and OHS
- supervise CFO, communications/marketing and IT

KEY ACHIEVEMENTS;

- Establishment of the Melbourne Ageing Research Collaboration (founding members include the University of Melbourne, Melbourne Health, Dept of Health (Vic) and nine other significant health and industry partners
- Migrated NARI from incorporated association to company limited by guarantee

- Developed sound operational systems to support all aspects of organisational requirements (includes IT, HR, research governance, finance, facility, risk management, staff development)
- Developed Strategic Plan 2008-2012 and 2012-2015
- Instigated and project managed renovations and facility improvements
- Drove and attracted funding for technology and ageing research stream
- Built education and professional development program
- Developed risk management plan, policies and processes
- Built links with key and new stakeholders
- Negotiated alliance, contracts and affiliations with University of Melbourne, Melbourne Health and others
- Member of Vic Govt Trade Supermission to India (March 2014) China (November 2015)
- Represented NARI and presented papers at international conferences in ageing or research management
- Achieved administering institute status with NHMRC through the development and implementation of research governance policies and processes.

DIANELLA COMMUNITY HEALTH
Deputy CEO

NOVEMBER 2000-OCT 2007

Director and then Deputy CEO of Dianella Community Health Service a large community health centre with an extensive management portfolio. (also intermittent Acting CEO)

KEY ACHIEVEMENTS:

- Managed seven teams (approx. 96 staff)
- Secured funding for Aboriginal Health Chronic Disease program
- Drove and ensured the initial and second organisational accreditation with QICSA
- Wrote background document and secured funding for Best Start
- Worked with CEO and Board to develop or lead ICT, risk management
- Lead service co-ordination and organisational amalgamation initiatives
- Represented the organisation on external regional and statewide policy/program committees
- Conducted consumer consultations
- Presented at external forums and conferences on behalf of Dianella CH.

LATROBE UNIVERSITY

1996-2000

Lecturer – Under Graduate and Post Graduate Course Co-ordinator

Managed, co-ordinated and taught many undergraduate and post graduate courses in health promotion and health systems. Co-ordinated Health Promotion stream, Bachelor of Health Sciences, Masters Health Sciences Health Promotion

Role consisted of teaching at all levels of undergraduate and post graduate programs in the School of Public Health

KEY ACHIEVEMENTS

- Reviewed and developed the Health Promotion Stream in the BHSc
- Reviewed and redeveloped curriculum in UG and PG Health Science and PG Dip and Masters in Health Promotion
- Supervised Hons and Masters students
- Publications
- Membership of national and state policy advisory committees
- Founded journal on telehealth
- International Conference presentation on Technology and consumers (Heidelberg)

PRIOR TO 1996

- Part time work managing undergraduate student placement unit (RMIT, University of Melbourne)
- Sessional tertiary lecturing/tutoring
- Consultancy
- Study
- Raising young family
- Clinical social worker in health and mental health.

CURRENT AND RECENT COMMUNITY COMMITTEE AND BOARD INVOLVEMENT

2013- Company Secretary – Melbourne Opera

2012- Member Northern Medicare Local Strategic Advisory Group

2011 - President Wye River Surf Life Saving Club

2009 – 2012 Member – COTA Policy Committee

2001 - Secretary then Treasurer – Wye River Surf Life Saving Club

2005- RMIT SW Program Advisory Committee

2016 – Wye River/Separation Creek Community Resilience Committee

2014-2015 Standards Australia – CFA Representative on Placement and presentation of hand hygiene materials in health care settings

PREVIOUS

Sept 1986 -1991 Founder Chair and member of Melbourne District Health Council.

1987-1990 Chair of the Statewide DHC Program, subsequently the Association of District Health Councils.

1982-1989 Member of Flemington Community Health Centre Committee of Management. (1984-88, Deputy Chair.)

1990-1992 Member of the Health Issues Centre Board of Management.

1989-1990 Member of NHMRC Oral Health Status (Disadvantaged) Subcommittee
1992 Secretary, Flemington Child Care Co-operative Child Care Committee.

1991-1992 Member of Consumer Health Forum Task Force on the National Health Strategy

1992-1998 Member of National Consumer Health Forum General Committee
1993-1998 CHF National Consumer representative on General Practice Information Management Strategy Group, a national working party looking at information management and communication technology in General Practice.
1994-1996 Chairperson Victorian Consumer Health Voice.
A Voluntary position in a state based consumer health organisation.
1995-1996 National Consumer representative on NSW Information Policy Committee.
1995-1997 Member of Moonee Valley Family and Children's Services Community Consultative Committee.
1995-2001 Health Issues Centre board member, (1999, Editor "Health Issues")
1995 – 2002 Consumer representative on project reference groups and informal consultation with NW Melbourne Division of General Practice
Chair, Division Community Advisory Forum.
1996 -Member of Vic Health Project Reference Committee on Health Information Technology and Health Promotion,
- Consumer Representative on Standards Australia sub-committee looking at Electronic Communication protocols and standards.
- Chair CHF project committee on consumer's information and research.
1996 - 1998 Board member Women's Health Victoria. (Health Sharing Women.)
1996-1999 Member, Standards Australia, IT/14 Committee.
1998 - 1999 Member project reference group - Partnerships and Participation project, RMH and NW Health Care Network.
1996-2002 Chair Community Advisory Forum, North West Melbourne Division of General Practice.
1999 –2002 Director, North West Melbourne Division of General Practice

OTHER INTERESTS

Sing with 2 choral societies and chorus of Melbourne Opera
Surf Life Saving
Photography

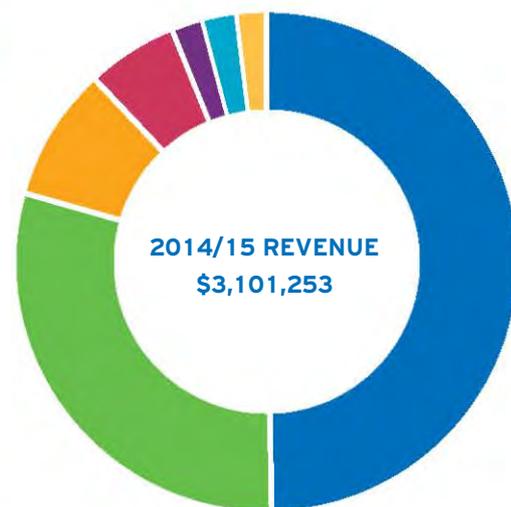
PUBLICATIONS

O'Connor, D. (1996) "Consumers and health information technology" in Hovenga, E., Cesnik, B., and Kidd., (1996) Health Informatics in Australia Churchill Livingstone.
O'Connor, D. (1998) "Women and Counselling in Victoria". Just Policy, June 1998
O'Connor, D. (2000) "Privacy, an issue for electronic prescribing" The Australian Health Consumer. No1
O'Connor, D., Peterson, C., Whitfield, J., (2000) Telehealth. What does it offer for public health care? Australian Family Physician Vol 29, 5, May 2000
O'Connor, D. and Peterson, C. General Practice in Australia: "The Effects of Reforms and The Process of Privatisation" in Gardner H. and Barraclough, S. (eds) Health Policy in Australia. (2nd ed) Oxford University Press 2002. O'Connor D. and Carter M. "Consumers and Health Policy Reform" in Liamuttong, P. and Gardner, H. (eds) Health, Social Change and Communities. Oxford University Press 2003.

Finances

Statement of Comprehensive Income for the year ended 30 June 2015

	2015	2014
REVENUE		
State government grants and contracts	\$1,544,148	\$1,392,389
Federal government grants and contracts	\$919,861	\$1,012,006
Other contract research	\$175,146	\$550,688
Philanthropic grants and contracts	\$275,020	\$310,285
Education and training	\$56,523	\$169,719
Interest	\$64,851	\$64,872
Donations and Miscellaneous	\$65,704	\$41,199
Total Revenue	\$3,101,253	\$3,541,158
EXPENDITURE		
Employee Benefits	\$2,602,382	\$2,892,365
Project costs	\$288,585	\$196,876
Research support	\$153,917	\$149,620
Other expenses	\$239,515	\$301,734
Total Expenditure	\$3,284,399	\$3,540,595
Deficit for the year	\$(183,146)	\$563

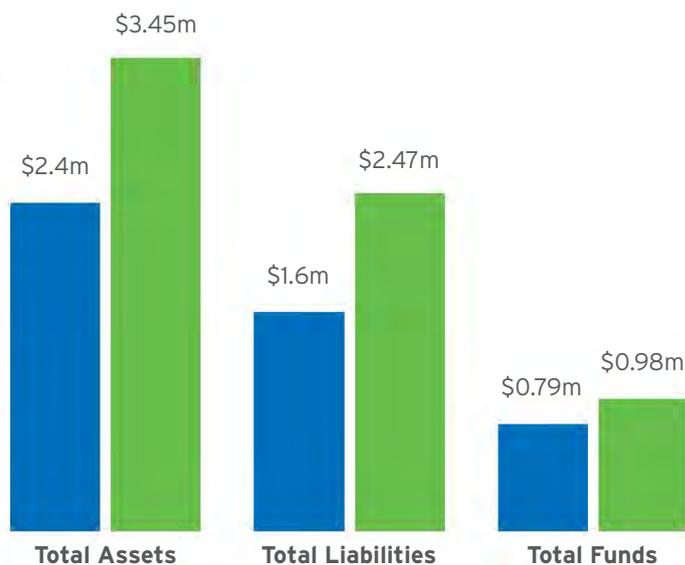


REVENUE BREAKDOWN

- State government grants and contracts
- Federal government grants and contracts
- Other contract research
- Philanthropic grants and contracts
- Education and training
- Interest
- Donations and miscellaneous

Balance Sheet as at 30 June 2015

	2015	2014
ASSETS		
Current assets	\$2,088,753	\$3,242,535
Non-current assets	\$313,772	\$214,545
Total Assets	\$2,402,525	\$3,457,080
LIABILITIES		
Total current liabilities	\$1,446,312	\$2,352,938
Total non-current liabilities	\$159,321	\$124,103
Total Liabilities	\$1,605,633	\$2,477,041
Net assets	\$796,892	\$980,039
Reserves	\$7,879	\$1,576,568
Retained earnings	\$789,013	\$(596,529)
Total Funds	\$796,892	\$980,039



Full audited financial statements are available at www.nari.net.au

**IN THE FAIR WORK COMMISSION
4 YEARLY REVIEW OF MODERN AWARDS
AWARD STAGE – GROUPS 3 AND 4**

Matter Nos: AM2014/281 (*Professional Employees Award 2010*)
AM2015/6 (Education Group)

Respondents: The Association of Australian Medical Research Institutes (**AAMRI**) and the Association for Professional Engineers, Scientists and Managers, Australia (**APESMA**)

FURTHER WITNESS STATEMENT OF PROFESSOR DOUGLAS HILTON

I, **PROFESSOR DOUGLAS HILTON** of _____, **STATE** as follows:

1. I make this statement on my own behalf and, where relevant, in my capacity as:
 - (a) Director of the Walter and Eliza Hall Institute of Medical Research (**WEHI**); and
 - (b) President of the Association of Australian Medical Research Institutes (**AAMRI**).
2. I am authorised to make this statement on behalf of WEHI and AAMRI.
3. I make this statement from my own knowledge unless I indicate otherwise. Where I have received information from a third party, I believe that information to be true unless I state otherwise.
4. I refer to my previous Statement dated 11 March 2016 in these proceedings.
5. I have read the Statements of Peter Higgs, Roy Sneddon and David Trevaks in these proceedings.

Diverse activities and operations of MRIs

6. The primary activity of all MRIs is, of course, medical research. However, as a result of the distinct health-related missions of respective MRIs, many are involved in associated activities which also further their mission. Most commonly, these involve clinical services, public health activities, protection and development of intellectual property, commercialisation, public health delivery, policy development and/or advocacy.

7. Some examples of the varying operations of MRIs include:
 - (a) the Queensland Eye institute, which runs an eye clinic, where a team of ophthalmologists runs a suite of ophthalmic services, and also operates a day hospital. The day hospital includes a range of surgical offerings, including ophthalmic, maxillofacial, dental, plastics and dermatology services. The clinical activities of the eye clinic can be linked to clinical trials and other research undertaken by the institute;
 - (b) Baker IDI, which provides health services and public health activities to Indigenous communities in Central Australia and the Barkley region;
 - (c) the George Institute for Global Health, which undertakes much advocacy and informs policy on public health issues;
 - (d) the Burnet Institute, which is a registered NGO.
8. Other examples of activities MRIs carry out in addition to their primary research, in order to achieve their missions, is attached to this Statement as Annexure **DH-1**.
9. The diversity of activities of independent MRIs is clearly distinct from universities, which have historically been, and are, considered part of a single higher education sector on the basis that they are broadly similar in their activities and a common peak body that lobbied on their behalf (ie Universities Australia).
10. The differences in research focuses and translational activities mean that the composition of each MRI's workforce is also different. For example:
 - (a) the Burnet institute employs a high proportion of staff in relation to their public health activities;
 - (b) Queensland Eye Institute and Woolcock Institute employ a greater proportion of health professionals in order to conduct their related clinical activities;
 - (c) The National Ageing Research Institute and Orygen, the National Centre of Excellence in Youth Mental Health employ a mix of research, health professional and policy staff to reflect their involvement in both health services and policy.
11. The size of MRI workforces also ranges from smaller institutes such as the National Aging Research Institute, which employs 33 employees, to large institutes such as the Murdoch Children's Research Institute, which directly employs 887 employees. Of the independent

MRIs that may be affected by the NTEU's Applications, the median number of employees is 139. In contrast, universities are ordinarily much larger organisations.

12. MRIs are primarily companies limited by guarantee; some are entities incorporated under a State Act or incorporated associations. Each is overseen by a Board of Directors, generally consisting of voluntary members of the business, not-for-profit and research sectors.
13. Due to their varying sizes and activities, MRIs have diverse organisational structures and operations. For example, The George Institute for Global Health has extensive offshore activities and divisions overseeing large-scale international multi-site clinical trials. The Burnet Institute is an accredited non-government agency (NGO), and has a range of centres within its organisational structure, as well as several offshore outposts in developing countries. In contrast, Melanoma Institute Australia is a small MRI which has its headquarters, commercial clinical practices and dry research lab at the Poche Centre, with wet research conducted at three satellite centres.

Integration of MRIs with hospitals and health services

14. The majority of independent MRIs are co-located with health services or hospitals. This allows these MRIs to share resources and staff with hospitals and to engage with clinicians and patients. While MRIs may also be in the general proximity of universities, the Florey Institute of Neuroscience and Mental Health is rare in that it is on a university campus.
15. A list of MRIs indicating which are co-located with either a hospital/health service or a university is set out at Annexure **DH-1**.
16. MRIs are often closely aligned with hospitals or health services in their activities and organisational structures. For example, Wesley Medical Research is located within several Brisbane hospitals, and the MRI uses the hospital payroll for its staff. The Centre for Eye Research Australia is located with the Royal Victorian Eye and Ear Hospital and has many clinical trials involving patients from the hospital.

Work of medical research employees

17. I refer to my previous Statement in which I set out the work of medical researchers in detail.
18. Further to that Statement, there are distinct differences between the work of medical researchers in MRIs and those of research academics generally at universities.
19. The core research work of MRI researchers is aligned with improving health outcomes and is based on the scientific method. While it is similar to the work of medical researchers and

other scientific researchers employed in universities, it is clearly different from the kind of work performed by the majority of academics in universities such as in the humanities.

20. The work of research academics at universities is primarily measured by scholarly publications, including the Excellence in Research Australia initiative of the Federal Government, which ranks success of universities in different research disciplines based primarily on scholarly outputs. MRIs are not included in these rankings. The number of scholarly publications, and in which journals they are published, also greatly influence university rankings, and are consequently a key measure of success of these institutions. This is not to say that the translation of university research is not valued. It is just to emphasise that currently, publication output strongly affects university rankings and culture, and thus this drives institutional goals and key performance measures of staff.
21. Publication output and impact are also indicators of the quality of research of MRIs. However, the success of an MRI is ultimately determined by the influence of the institute's research on health outcomes. . In some instances MRIs have strategic plans that measure success by the extent the institute influences health policy and guidelines, contributes to best practice health methods, and/or affects health outcomes. There is a more translational focus of the Boards of MRIs, which extends beyond rankings based on publication outputs.
22. While there are research-only academics at universities, many research academics are also engaged in teaching. In contrast, medical researchers in MRIs will rarely be involved in lecturing undergraduates, in their capacity as employees of the MRI. To the extent that MRI researchers are involved in teaching, this is typically done through their co-appointment with a university. Research employees of other organisations such as hospitals similarly divide these duties.

Affiliations

23. WEHI is affiliated with both the Royal Melbourne Hospital and the University of Melbourne. This is a similar arrangement to other independent MRIs, which have entered into affiliation agreements with a hospital and a university, or in some cases several hospitals or universities.
24. A list of MRIs and the organisations with which they have affiliations is set out at Annexure **DH-1**.
25. When there is an affiliation between an independent MRI and a university, that affiliation does not mean that the MRI is integrated with that affiliated organisation. From an MRI perspective, the advantage of such agreements is generally to allow MRIs to supervise or co-supervise the research projects of PhD or Honours students, and to allow access to

university library resources (a cheaper and more practical option than individual MRIs providing these themselves).

26. The affiliations of WEHI and the Florey Institute of Neuroscience and Mental Health with the University of Melbourne have resulted in both organisations being named as "Departments" of the University. However, these organisations have retained their organisational, governance, strategic and research independence, and, if desired, are capable of terminating this affiliation unilaterally.
27. MRIs are not the only organisations which are affiliated with universities. The University of Melbourne, for example, has affiliations with hospitals and health service providers, consulting firms, NGOs and museums. A full list of the organisations with which the University of Melbourne has affiliations is attached to this Statement as Annexure **DH-2**.

Supervision of Research Higher Degree (RHD) students

28. I am an honorary professor of the University of Melbourne in order to supervise Honours and PhD students, known as Research Higher Degree (**RHD**) students, of the university. The majority of early to mid-career researchers in MRIs do not have adjunct or co-appointments with a university; rather, they will have honorary appointments.
29. WEHI staff are able to supervise the research project of RHD students from the University of Melbourne as long as they have an honorary appointment with the university. To the best of my understanding, there are similar arrangements for other affiliates of the university.

Regulation of universities vs MRIs

30. Universities are regulated by several pieces of legislation, including the *Higher Education Support Act 2003 (HESA)* and *Tertiary Education Quality and Standards Agency Act (TEQSA Act)*. These Acts regulate the funding of higher education institutions and the quality of the degrees conferred by such institutions.
31. Universities are subject to reporting requirements to the Tertiary Education Quality and Standards Agency, Australian Research Council (**ARC**) and the Commonwealth Department of Education and Training. An example of this is that universities are required to report on research data to the "Excellence in Research for Australia" (**ERA**) research evaluation framework.
32. MRIs are not subject to the above regulation or reporting requirements, and are not regulated as a 'sector' or 'industry', save for their reporting requirements to the Australian Charities and Not-for-profits Commission as charities.

33. At the Commonwealth Government level, MRIs fall under the 'responsibility' of the Department of Health, and receive funding for operational costs through the NHMRC, which is a statutory body of this department. This is different from universities, which are regulated by and receive funding for operational costs from the Department of Education and Training. As grant recipients, MRIs are of course, like all recipients of grant funding, required to report outcomes to the relevant funding body, including the NHMRC in the case of NHMRC grants.
34. MRIs are required to comply with the Australian Code for the Responsible Conduct of Research. All organisations that undertake research are required to comply with this Code, including MRIs, hospitals and health services, not for profits and universities.

Funding arrangements

35. MRIs obtain their funding from a wide array of sources. To the extent that universities are able to access the same sources, such sources are also available to hospitals, not-for-profits and other organisations conducting medical research. Universities are also eligible to receive significant funding sources that are inaccessible to MRIs.

NHMRC grants

36. MRI staff are eligible to apply for NHMRC grants and fellowships, and MRIs are able to administer any NHMRC grants as long as they have met the NHMRC requirements to be an eligible administering institution. Such grants are also able to be administered by hospitals, not for profits (for example, the Cancer Council), as well as universities who have registered as eligible administering institutions. Such grants are capable of being transferred between any of these eligible administering institutions should a researcher to whom a grant has been awarded change employers.
37. MRIs are also eligible for funding for operational overheads associated with NHMRC grants through the Independent Research Institute Infrastructure Support Scheme (**IRIISS**). This funding is **only** available to independent MRIs pursuant to the IRIISS Funding Policy, attached to this Statement as Annexure **DH-3**. These grants provide up to 20 cents per dollar of NHMRC funds awarded to researchers at the institute in that year. These may be shared between MRIs who are undertaking collaborative projects; however, sharing this funding with universities is prohibited.

State funding

38. MRIs are also eligible for state government schemes in order to meet overheads. For instance, the Victorian Government provided independent MRIs, including WEHI, with a

total of \$26 million in the 2015-2016 financial year through the Operational Infrastructure Scheme.

39. In contrast, universities are not eligible for this scheme, and the Victorian Government makes clear that the primary responsibility for university funding rests with the Commonwealth government.

University funding

40. Universities, on the other hand, are eligible for Research Block Grant Funding from the Commonwealth Government to cover the costs of research overheads and Research Higher Degree students. This amounts to approximately \$1.8 billion in funding per year.
41. MRIs are not eligible to receive such Research Block Grant Funding from the Commonwealth Government, including funding in respect of the RHD students that they supervise or co-supervise. This acknowledges that such students receive their higher degree from the university at which they are enrolled, and are accordingly the educational responsibility of those institutions. Universities may, at their discretion pass on some of the funding they receive for RHD students supervised by MRIs to the MRI (as part of their affiliation arrangements).
42. Universities also receive recurrent Commonwealth funding through the Commonwealth Grant Scheme, which provides funding for the education of non-research students. MRIs do not receive this funding as they are not involved with such students.
43. The ARC is a key source of grant funding for universities. It currently provides grant funding through a range of schemes under its Discovery Programme and the Linkage Programme.
44. MRIs are **not** "Eligible Organisations" as defined in the funding rules for these ARC programmes (**Funding Rules**), which are attached to this Statement at Annexure **DH-4**. These rules specify all higher education institutions in Australia as eligible organisations, and provide for very limited additional eligible organisations. Under the current rules, no MRI is such an additional Eligible Organisation.
45. An MRI may benefit from ARC grant funding as a "Partner Organisation", or their research employees may be "Partner Investigators", under the Funding Rules. This is similar to a multitude of other organisation types which are eligible as Partner Organisations by the ARC.
46. Because MRIs are not eligible administering organisations for ARC grants, it is not ordinarily possible for an ARC grant to be transferred from a university to an MRI should a researcher

change employers. The eligibility criteria for grant funding schemes (which may vary from year to year) often require that a grant recipient continue to be employed by an eligible administering organisation.

Obtaining funding through a university

47. It is incorrect to say that the majority of grants funding MRI research are administered through universities. Most Victorian MRIs do not submit their grants through a university, including large ones such as WEHI and the Murdoch Childrens Research Institute. The NHMRC's data, for 2014, shows that 66% of NHMRC funding for MRI research was directly administered by MRIs.¹
48. Independent MRIs, like hospitals, are able to and do sometimes submit grants through universities. This is because universities are entitled to funding for indirect costs to which hospitals and MRIs are not, and universities pass a negotiated portion of this funding to the MRI or hospital, at an overall rate that can be higher than what they would otherwise receive if they self-administered their grants.

Tax treatment

49. Currently, MRIs (as Health Promotion Charities or Public Benevolent Institutions) are exempt from paying tax on fringe benefits provided to employees up to an annual cap of \$30,000 (grossed up) per employee for general living expenses, and an additional annual cap of \$5,000 (grossed up) per employee for meal/entertainment/venue hire/accommodation. This allows employees to spend from pre-tax income, increasing their net income, and improving the ability of MRIs to attract and retain skilled staff.
50. MRIs are heavily reliant on these tax concessions to compete for skilled staff, particularly with universities, which receive income streams not available to MRIs (e.g. student fees and various Federal Government research support schemes available only to universities), as well as industry and international research organisations.

Terms of Higher Ed Awards

51. I have reviewed the terms of the Higher Education Awards and note several points which are inappropriate for the majority of independent MRIs.
52. The terms relating to clinical loadings seem to require that the employee work in a medical/dental school. I am unaware of any MRI which operates such a school.

¹https://www.nhmrc.gov.au/_files_nhmrc/file/media/events/2015/anne_kelso_rao_seminar_17_november_2015.pdf

53. The classification descriptions in the Academic Award, even those focused on research only staff, are not appropriate descriptions of the work of all MRI medical researchers. The focus at each level is on "scholarly activities", which does not sufficiently capture the different emphasis of many MRIs on the translation of research to impact, including alternative outputs of research, such as involvement in public health activities, impact on policy and health guidelines, and publication in 'grey literature' (i.e. non-peer-reviewed publications such as industry magazines, which do not contribute to university rankings or publication citations, but which can be appropriate outputs to influence health policy or best practice).



PROFESSOR DOUGLAS HILTON

3 June 2016

Annexure DH-1 – Analysis of independent MRI activities

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
ANZAC Research Institute			Sydney Local Health District The University of Sydney
Baker IDI Heart & Diabetes Institute	Health services: clinics which assist with diabetes, weight assessment, cardiovascular, respiratory, ophthalmology, physiology; provide health services and public health information / community education to Indigenous communities in Central Australia.	Alfred Hospital	Alfred Health Alice Springs Hospital University of Melbourne Charles Darwin University Monash University
Bionics Institute		St Vincent's Hospital	St. Vincent's Hospital The University of Melbourne
Brien Holden Vision Institute	Public health services: providing resources and training in developing communities Health services: optometrists provide eye care to Aboriginal and Torres Straight Island people across NSW and NT; establishing vision centres which provide eye examinations and low vision assessments.	University of New South Wales (UNSW)	University of New South Wales (UNSW)

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
Burnet Institute	Public health programs: in their capacity as registered NGO, provision of technical advice and support, organisational capacity building, policy analysis and development, and training/education programs in developing countries	Alfred Medical Research and Education Precinct	Alfred Hospital Alfred Medical Research and Education Precinct University of Melbourne Monash Partners Academic Health Science Centre Monash University
Centenary Institute		Royal Prince Alfred Hospital	Sydney Local Health District Sydney Health Partners Sydney Catalyst Sydney Research The University of Sydney
Centre for Eye Research Australia	Health services: Development of vision screening kits; vision testing	Royal Victorian Eye and Ear Hospital	The Royal Victorian Eye and Ear Hospital The University of Melbourne
Children's Cancer Institute		UNSW	Sydney Children's Hospital Children's Hospital

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
			Westmead Health Science Alliance Sydney Children's Hospitals Network UNSW
Children's Medical Research Institute			Children's Hospital Westmead Monash University University of Newcastle The University of Sydney
The Florey Institute of Neuroscience and Mental Health	Health services: Telephone Psychotropic Drug Advisory Service to individuals, medical practitioners, health care professionals, mental health care support organisations and their staff, carers and consumers.	University of Melbourne	Melbourne Health Austin Health Deakin University of Melbourne
Garvan Institute of Medical Research	Public health services: Free public seminars and information on health topics; hosting pharma-sponsored and investigator-initiated clinical trials.	St Vincent's Hospital	St Vincent's Hospital Royal Prince Alfred Westmead Hospital St Vincent's Research Precinct UNSW

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
The George Institute for Global Health	Influences health policy; undertakes advocacy with regard to public health.	Royal Prince Alfred Hospital	Royal Prince Alfred Hospital Sydney Health Partners Peking University Health Science Center Oxford University The University of Sydney
Harry Perkins Institute of Medical Research		QEI Medical Centre Fiona Stanley Hospital Campus	University of WA
Heart Research Institute		University of Sydney	Royal Prince Alfred Hospital Sydney Health The University of Sydney
Hudson Institute of Medical Research		Monash Medical Centre	Monash Health Monash University
Hunter Medical Research Institute		John Hunter Hospital	Hunter New England Health Local Health District Calvary Mater Hospital University of Newcastle

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
Institute for Breathing and Sleep	Health services: provides medical services to patients needing treatment for respiratory and sleep disorders.	Austin Health	Austin Health The University of Melbourne
Lions Eye Institute	Health services: provides some health services in Indigenous communities. Also provides ophthalmology clinical services	Sir Charles Gairdner Hospital Hollywood Private Hospital	Royal Perth Hospital Sir Charles Gairdner Hospital Fremantle Hospital University of Western Australia
Mater Medical Research Institute		Based at Mater Hospital campus	Mater Health Services University of Queensland
Melanoma Institute Australia	Health services: provide health services to patients that are enrolled in clinical trials run by the Institute. Health promotion: promote awareness of melanoma		St Vincent's Mater Health Services Royal Prince Alfred Hospital Macquarie University The University of Sydney
Menzies School of Health Research	Health promotion: Development of public health resources for indigenous communities; policy development for the prevention of vivax malaria, etc.	Royal Darwin Hospital Campus	Royal Darwin Hospital Charles Darwin University

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
Murdoch Children's Research Institute	Operates (through a subsidiary) the diagnosis, risk assessment, management and counselling for people with genetic conditions.	Royal Children's Hospital	Royal Children's Hospital, Melbourne Biomedical Research Victoria Cincinnati Children's Hospital Victorian Comprehensive Cancer Centre The University of Melbourne
National Ageing Research Institute	<p>Advocacy: advocates for older people through submissions, roundtables and lobbying.</p> <p>Professional development/best practice: workshops and seminars provided to health professionals working in residential aged care and community aged care to improve best practice in health care</p> <p>Policy: Provides advice on health policy and guidelines based on research findings and knowledge.</p>	Royal Melbourne Hospital	Melbourne Health The University of Melbourne
Neuroscience Research Australia		Randwick Hospital Campus	South Eastern Sydney Local Health District The Health-Science Alliance Sydney Alliance for Healthcare, Research and Training UNSW

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
Olivia Newton-John Cancer Research Institute		Olivia Newton-John Cancer Wellness & Research Centre	Austin Health La Trobe University
Orygen, the National Centre of Excellence in Youth Mental Health	<p>Clinical services: provide mental health, alcohol and other drugs, primary care and educational services to over 3,500 people each year.</p> <p>Policy and advocacy: policy development aimed at supporting care of young people and promoting understanding of young people's mental health needs.</p>	Provides health services & does research on same site	Melbourne Health Colonial Foundation Trust headspace National Young and Well CRC The University of Melbourne
Queensland Eye Institute	Clinical services: provide clinical facilities for Clinical Staff to conduct their private practice	South Bank Day Hospital	Mater Hospital Queensland University of Technology Bond University UQ
South Australia Health and Medical Research Institute		Royal Adelaide Hospital	Royal Adelaide Hospital SA Health Flinders University University of SA University of Adelaide

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
St Vincent's Institute	Health services: provides human islets to Islet Transplant Programs operating in Melbourne, Adelaide and Sydney. This procedure is helping people who have severe unstable diabetes; many no longer require insulin injections and all have improved glycemic control after transplantation.	St Vincent's Hospital	St Vincent's Hospital Melbourne The University of Melbourne
Telethon Kids Institute			Princess Margaret Hospital for Children Curtin University of Technology Murdoch University Notre Dame University Edith Cowan University The University of WA
Victor Chang Cardiac Research Institute	Health promotion: provides outreach services to the community via a mobile Health Check Booth that tests a person's blood pressure, total cholesterol and blood sugar levels and provide information on modifiable risk factors and healthy heart habits. Approximately 9,000 people were tested in 2014.	St Vincent's Hospital	St Vincent's Hospital, Sydney Darlinghurst Hub Cardiovascular Research Network NSW (CVRN) UNSW
Walter and Eliza Hall Institute of Medical Research	Commercial development: focuses on commercialisation of research and spinning out companies for this purpose.		Melbourne Health Victorian Comprehensive Cancer Centre Bio21 Cluster

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
			Melbourne Genomics Alliance The University of Melbourne
Wesley Medical Research	Operates the Wesley Medical Research Tissue Bank	Wesley Hospital	All Uniting Care Health Hospitals Queensland University of Technology Griffith University Deakin University Southern Health Service University of Queensland
Westmead Institute for Medical Research			Western Sydney Local Health District Westmead Medical Research Foundation Westmead Research Hub The University of Sydney

MRI	Health and related activities*	Co-located with Hospital or University?	Affiliations
Woolcock Institute of Medical Research	Health services: the Woolcock Clinic specialises in the diagnosis and treatment of all sleep and breathing disorders		Sydney Local Health District Western Sydney Local Health District Northern Sydney Local Health District Sydney Research The University of Sydney University of Technology Sydney UNSW

*This is not a comprehensive list of all activities that the listed MRIs undertake in addition to research.

Annexure DH-2 - List of University of Melbourne affiliates

About Us

Established in 1853, the University of Melbourne makes distinctive contributions to society in research, learning and teaching and engagement.

Home	Strategy and leadership	Tradition of excellence	International connections	Campuses and facilities	Structure and governance	Policy and publications	Careers at Melbourne
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About Us › Structure and governance › Affiliates

Affiliates

We are affiliated with leading industry organisations, cross-disciplinary research entities and cultural establishments, placing us at the forefront of research development and community engagement.

The University of Melbourne maintains a wide range of affiliations with research institutes, industry, public and cultural establishments across diverse disciplines - from economics, business, law, and arts to environmental and medical sciences. Our affiliations with these institutions contribute to our success as Australia's leading university.

ACIL Tasman (<http://www.aciltasman.com.au/>)

ACIL Tasman is an economic consulting firm providing analysis and advice on economics, policy and strategy to clients in Australia and internationally.

Anti-Cancer Council Of Victoria (<http://www.cancervic.org.au/>)

Reducing the impact of all cancers for all Victorians.

Austin Health (<http://www.austin.org.au>)

Austin Health is the major provider of tertiary health services, and health professional education and research in the northeast of Melbourne.

Australian Antarctic Division (<http://www.antarctica.gov.au/>)

The Australian Antarctic Division advances Australia's strategic, scientific, environmental and economic interests in Antarctica and the Southern Ocean by protecting the region.

Australian College of Optometry (<http://www.aco.org.au/>)

Australian College of Optometry's vision is to be a world-leading institution in the science, education and practice of optometry.

Australia and New Zealand School of Government Limited (<http://www.anzsog.edu.au/>)

A world-leading educational institution that teaches strategic management and high-level policy to public sector leaders.

Australian Institute of Family Studies (<http://www.aifs.gov.au/>)

The Australian Government's key research body in the area of family wellbeing.

Bionics Institute (<http://www.bionicsinstitute.org>)

The Bionics Institute is an independent medical research institute

Melbourne Health (<http://www.mh.org.au/>)

Melbourne Health is one of Australia's leading public healthcare providers. Their mission is to provide world-class healthcare for the community by embracing discovery and learning, building collaborative relationships, and engaging patients in their care.

Murdoch Childrens Research Institute (<http://www.mcri.edu.au/>)

The Murdoch Childrens Research Institute strives to obtain knowledge to improve the health of children in Australia and around the world.

Museum Victoria (<http://museumvictoria.com.au/>)

Museum Victoria cares for the state's scientific and cultural collections.

National Ageing Research Institute Incorporated (<http://www.mednwh.unimelb.edu.au/>)

Australia's leading institute for research into ageing.

Northern Health (<http://www.nh.org.au>)

Northern Health is one of Victoria's busiest public health services. Their acute and sub-acute health services cover a local community of approximately 728,000 people and their emergency department treats almost 70,000 patients each year.

(O'Brien Institute (<http://www.bobim.org/>)

The O'Brien Institute is a world leader in developing and refining methods to replace or repair tissues and organs damaged by injury or disease.

Peter MacCallum Cancer Centre (<http://www.petermac.org/>)

Australia's only public hospital solely dedicated to cancer treatment, research and education.

Royal Children's Hospital (<http://www.rch.org.au/home/>)

The mission of the Royal Children's Hospital is to improve the health and wellbeing of children and adolescents through leadership in healthcare, research and education.

Royal Victorian Eye and Ear Hospital (http://www.eyehandear.org.au/page/About_Us/)

The Royal Victorian Eye and Ear Hospital is Australia's pre-eminent specialty eye and ear hospital. From their base in East Melbourne and outpatient clinics around Victoria, they reach over 250,000 people a year.

Royal Botanic Gardens Board (<http://www.rbg.vic.gov.au/about-us/rbg-board>)

The Royal Botanic Gardens Board administers the Royal Botanic Gardens Melbourne, the Royal Botanic Gardens Cranbourne, the National Herbarium of Victoria, the State Botanical Collection and the Australian Research Centre for Urban Ecology (ARCUE).

Skin And Cancer Foundation Incorporated (<http://www.skincancer.asn.au/>)

The Skin & Cancer Foundation is a not-for-profit, non-government funded organisation which provides specialist treatment, education and

St. Vincent's Institute of Medical Research

(<http://www.svi.edu.au/>)

SVI is an independent medical research institute conducting medical research into the cause, prevention and treatment of diseases that are common and have serious effects on health.

St. Vincent's Health (<http://www.svha.org.au/Pages/home.aspx>)

St. Vincent's Health Australia is a clinical, research and education leader working in private hospitals, public hospitals and aged care services.

Victorian Institute of Marine Sciences ()

The Victorian Institute of Marine Sciences (VIMS) was established by the Victorian Institute of Marine Sciences Act 1974 as a body corporate to provide facilities, foster and support scientific research and technological development in marine sciences.

Victorian Institute of Forensic Medicine

(<http://www.vifm.org/>)

The Victorian Institute of Forensic Medicine is Australia's most comprehensive forensic medical centre providing the justice system with evidence to ensure safe convictions and appropriate acquittals.

Walter and Eliza Hall Institute of Medical Research

(<http://www.wehi.edu.au/>)

The Walter and Eliza Hall Institute is the oldest medical research institute in Australia. The institute is dedicated to preventing, diagnosing and treating diseases including blood, breast, ovarian and bowel cancers, type 1 diabetes, rheumatoid arthritis, coeliac disease and malaria.

Zoological Board of Victoria (<http://www.zoo.org.au/about-us/governance/zoological-parks-and-gardens-board>)

The Zoological Parks and Gardens Board is the governing body of Victoria's three great zoos: Melbourne Zoo, Healesville Sanctuary and Werribee Open Range Zoo.

on neural prostheses.

Bureau of Meteorology (<http://www.bom.gov.au/>)

The Bureau of Meteorology is Australia's national weather, climate and water agency.

Burnet Institute (<http://www.burnet.edu.au/>)

Achieving better health for poor and vulnerable communities in Australia and internationally through research, education and public health.

Centre for Eye Research (<http://www.cera.org.au/home>)

The Centre for Eye Research's mission is to eliminate the major eye diseases that cause vision loss and blindness and reduce their impact in the community.

CSIRO (<http://www.csiro.au/>)

The Commonwealth Scientific and Industrial Research Organisation (CSIRO) is Australia's national science agency and one of most diverse research agencies in the world.

Epworth HealthCare is Victoria's largest not-for-profit private health care group, renowned for excellence in diagnosis, treatment, care and rehabilitation.

The Florey Institute of Neuroscience and Mental Health (<http://www.florey.edu.au/>)

The Florey's talented researchers are making great headway in the search for cures and improved treatments for many serious conditions of the brain.

Goulburn Valley Health (<http://www.gvhealth.org.au/>)

Goulburn Valley Health is an acute and extended care facility which provides surgical, medical, pediatric, obstetrics and gynecology, intensive care and psychiatry services as well as extended care and regional services.

Grattan Institute (<http://grattan.edu.au/>)

The Grattan Institute is an independent think tank dedicated to developing high quality public policy for Australia's future.

Institute of Postcolonial Studies Limited (<http://ipcs.org.au/>)

An independent organisation committed to advancing the recognition of cultural difference, encouraging mutual engagement and reconciliation.

Leo Cussen Institute For Continuing Legal Education (<http://www.leocussen.vic.edu.au/>)

The Leo Cussen Institute For Continuing Legal Education supports and provides high quality education, training, and professional development in legal practice and the law.

Ludwig Institute for Cancer Research (<http://www.ludwig.edu.au/austin/index.htm>)

The LICR undertakes clinical and translation research as well as conducting basic laboratory research that supports their clinical trial activities.

Melbourne College of Divinity (<http://mcd.edu.au/>)

The sixth oldest self-accrediting higher education provider in Australia and one of the oldest ecumenical institutions in the world



Independent Research Institutes Infrastructure Support Scheme (IRIISS) Funding Policy

2010

1 Introduction

The Independent Medical Research Institutes Infrastructure Support Scheme (IRIISS) commenced in 2005 following an Australian Government budget decision to allocate funds for overhead infrastructure support to NHMRC-accredited independent medical research institutes managing NHMRC research funds. This reflected reviews that found infrastructure costs for medical research institutes were substantial.

IRIISS is funded from the Medical Research Endowment Account (MREA).

2 Objectives

IRIISS aims to develop and maintain infrastructure to support high quality health and medical research by:

- (a) contributing to infrastructure costs associated with NHMRC competitively awarded research grants managed by NHMRC-accredited independent medical research institutes; and
- (b) providing infrastructure support to NHMRC-accredited independent medical research institutes that is similar to that provided to universities by the Department of Innovation, Industry, Science and Research (DIISR) through the Research Infrastructure Block Grants (RIBG) Scheme.

3 Description

IRIISS payments can be used to support the following types of overhead infrastructure, where that infrastructure is used to support a health and medical research activity:

- (a) non-capital aspects of facilities such as libraries, laboratories, computing centres, animal houses, herbaria and experimental farms;
- (b) the purchase, installation, maintenance and hire and lease of equipment; and
- (c) salaries of research support staff (including research assistants, accounting and administrative staff and technicians) employed to provide general support for a research activity. IRIISS payments can be used to support the salary of a research assistant supporting a number of research projects, but not the salary of a research assistant dedicated to a particular project.

Items **not** regarded as elements of research infrastructure for the purposes of IRIISS, and which cannot be funded are:

- (a) capital works eg the construction of buildings;
- (b) rental of accommodation;
- (c) salaries or stipends of researchers; and
- (d) salaries of staff supporting specific research at the institute level; and travel costs directly associated with individual projects with the exception of travel costs to allow participation in international consortia.

4 Eligibility

For a medical research institute to be eligible to receive IRIISS funding in a particular year it must meet all of the following criteria.

- (a) The institute must be a NHMRC-accredited independent medical research institute on the annual census date of 30 June. Applications for accreditation must be lodged with the NHMRC by 31 March in order to be assessed before the census date in that year;
- (b) The institute must be managing NHMRC research funds in that particular year; and
- (c) Ethics and all other clearances necessary for the NHMRC funded research attracting IRIISS funding must have been obtained and notified to the NHMRC before 30 June as IRIISS will only be paid on grants that have commenced paying.

Details of how a medical research institute can apply to become a NHMRC-accredited independent medical research institute can be found on the NHMRC website – see www.nhmrc.gov.au.

5 Calculating and Paying IRIISS Funding

There will be a single annual payment for IRIISS, based on a census of NHMRC grants active on 30 June each year. Active grants are those that are paying and include all competitively awarded NHMRC research grants being administered by eligible independent medical research institutes, including awards continuing from previous years as well as those commencing in the year the support is being provided. IRIISS will not be paid on grants that have been withdrawn, relinquished, suspended or terminated.

Where sufficient funds are available, IRIISS recipients will be paid 20 cents for every dollar of competitively awarded research grants that are paying at the time of the annual census. Otherwise payments will be scaled back to the available IRIISS funding.

For payments to eligible independent research institutes to occur, the following must be in place:

- (a) a Funding Agreement between the eligible independent medical research institute and the NHMRC that covers this type of grant;
- (b) an executed Schedule to the Funding Agreement, which sets out the value of payments; and
- (c) an acquittal, in the form specified by the NHMRC, of all previous IRIISS payments.

Once these conditions have been met, payments will occur as part of the next scheduled run of the NHMRC payments system.

6 Maintenance of State and Territory Government Support

It is recognised that most State and Territory Governments provide infrastructure support for medical research institutes. The intent of IRIISS is for the Commonwealth to supplement rather than replace on-going State and Territory contributions. Independent medical research institutes in each jurisdiction will not be eligible for IRIISS payments if their State or Territory Government decreases the overall level of infrastructure support that it provides.

To assist the NHMRC to monitor State and Territory funding, eligibility for IRIISS is conditional on eligible institutes providing information on the level of funding they are receiving from their State or Territory Government.

7 Management

Medical research institutions do not have to apply for IRIISS payments. Following the 30 June census, the NHMRC will calculate the level of IRIISS payment for eligible medical research institutions. NHMRC will then advise successful institutions of the amount available to them and provide a Schedule to the Funding Agreement, two copies of which are to be signed and returned for execution. Once this has been done, payments will be made.

The intention is to make each IRIISS payment before the end of the calendar year to which it relates.

Institutes receiving IRIISS payments will be required to provide an annual acquittal statement in a form specified by the NHMRC.

8 Further Information

Enquiries about IRIISS can be directed to:

Director
Research Administration Section
National Health and Medical Research Council
GPO Box 1421
Canberra ACT 2601



Australian Government

Australian Research Council

***Funding Rules for schemes under the
Discovery Programme (2015 edition)***

- ***Australian Laureate Fellowships commencing in 2016***
- ***Discovery Projects commencing in 2017***
- ***Discovery Early Career Researcher Award commencing in 2017***
- ***Discovery Indigenous commencing in 2017***

Australian Research Council Act 2001

I, Christopher Pyne, Minister for Education and Training, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Funding Rules under section 60 of that Act.

Dated 28 August 2015

Christopher Pyne
Minister for Education and Training

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Key Dates

Please refer to the Important Dates page on the ARC website at <http://www.arc.gov.au/important-dates> for key dates and updates relevant to these Funding Rules.

Contacts

Researchers should direct requests for information to the Research Office within their organisation.

ARC Contacts can be located on the ARC website at www.arc.gov.au.

Appeals must be addressed and sent:

by mail to:

The Appeals Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

by courier to:

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Canberra Airport
CANBERRA ACT 2609

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

Part A - General rules for schemes under the Discovery Programme

A1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Funding Rules for schemes under the Discovery Programme (2015 edition)*

- *Australian Laureate Fellowships for funding commencing in 2016*
- *Discovery Projects for funding commencing in 2017*
- *Discovery Early Career Researcher Award for funding commencing in 2017*
- *Discovery Indigenous for funding commencing in 2017*

A2. Commencement

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

A3. Definitions

In these Funding Rules, unless the contrary intention appears:

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

Applicant means the Administering Organisation. Funding under the Discovery Programme is provided to Administering Organisations, not to individual researchers.

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

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

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

ARC College of Experts means a body of experts of international standing appointed to assist the ARC to identify research excellence, moderate external assessments and recommend fundable Proposals.

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

Award of PhD Date means the date of conferral of a PhD, not the date of submission of the thesis, nor the date the thesis was accepted by the examination board.

Bench fees means the fees that an organisation charges for an individual to use infrastructure which would normally be provided by the organisation for their employees. This infrastructure may vary and could include, for example, an office or a laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.

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

Commencement Date means the date on which funding commences as defined for each scheme in Parts B to E of these Funding Rules.

Commonwealth means the Commonwealth of Australia.

Conflict of Interest means any conflict of interest, any risk of a conflict of interest and any apparent conflict of interest arising through a party engaging in any activity, participating in any association, holding any membership or obtaining any interest that is likely to conflict with or restrict that party participating in the Project. The *ARC Conflict of Interest and Confidentiality Policy* is available on the ARC website at www.arc.gov.au.

Discovery Programme refers to, for the purposes of eligibility, the schemes funded under the Discovery Programme of the *NCGP* which consist of: *Australian Laureate Fellowships*, *Discovery Early Career Researcher Award*, *Discovery Indigenous*, and *Discovery Projects*, and other schemes as updated from time to time.

Eligible Organisation means an organisation listed in A12.

Emeritus Appointment means any Honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) in a Proposal. These positions are typically held by former academic staff members that continue to have an ongoing relationship with the institution. For ARC purposes this relationship should include access to research support comparable to employees, and would also normally include participation in postgraduate supervision. A person will not be considered to hold an Emeritus Appointment if they are in paid employment elsewhere.

Field Research means the collection of information integral to the Project outside a laboratory, library or workplace setting and often in a location external to the researcher's normal place of employment.

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

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

Instructions to Applicants means a set of instructions prepared by the ARC to assist Applicants in completing the application form and associated documentation.

Medical Research means medical research as defined in the *ARC Medical Research Policy* available on the ARC website at www.arc.gov.au.

Minister means the Minister from time to time responsible for the administration of the ARC Act.

NCGP means the ARC's *National Competitive Grants Programme*.

NHMRC means the National Health and Medical Research Council.

ORCID identifier means a persistent digital identifier for an individual researcher, available via the ORCID website at www.orcid.org.

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

PhD is a qualification that meets the level 10 criteria of the *Australian Qualifications Framework Second Edition January 2013*.

Project means a Proposal approved by the Minister to receive funding from the ARC.

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

Project Research Environment means the laboratory, department, school, centre or institute within the Administering Organisation and other organisations if applicable where research will be undertaken, and which provides opportunities for knowledge growth, innovation, collaboration, mentoring and student training and support.

Research impact is the demonstrable contribution that research makes to the economy, society, culture, national security, public policy or services, health, the environment, or quality of life, beyond contributions to academia.

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

RMS means the ARC's online Research Management System.

Selection Advisory Committee (SAC) means a group of experts appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the ARC.

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

Science and Research Priorities means priority research areas identified by the Australian Government, and available via the ARC website at www.arc.gov.au.

UA means Universities Australia.

Workshop Services means specialised construction and maintenance activities carried out by a technician, often within a dedicated facility for working with materials such as wood, glass, metal or electronics.

A4. Introduction

A4.1 Overview

- A4.1.1 These Funding Rules are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force then.
- A4.1.2 These Funding Rules relate to schemes funded under the Discovery Programme of the ARC's *National Competitive Grants Programme*. The Discovery Programme supports the growth of Australia's research and innovation capacity, which generates new knowledge resulting in the development of new technologies, products and ideas, the creation of jobs, economic growth and an enhanced quality of life in Australia.
- A4.1.3 The Discovery Programme aims to deliver outcomes of benefit to Australia and build Australia's research capacity through support for:
- a. excellent, internationally competitive research by individuals and teams;
 - b. research training and career opportunities for the best Australian and international researchers;
 - c. international collaboration, and
 - d. research in priority areas.
- A4.1.4 The Discovery Programme schemes provide funding to Administering Organisations to support research Projects.
- A4.1.5 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the *NCGP*.
- A4.1.6 The Key Performance Indicators (KPIs) for the Discovery Programme are specified each year in the ARC Portfolio Budget Statements and the ARC Corporate Plan. The KPIs focus on long-term outcomes as well as medium-term outcomes relating to building Australia's research capacity, for

example, research careers and training, contributions in areas of national need and research collaboration. These are addressed each year in the ARC's annual report.

A4.2 Research/Activities Supported

- A4.2.1 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.
- A4.2.2 This definition of research is consistent with a broad notion of research and experimental development comprising “creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man [humankind], culture and society, and the use of this stock of knowledge to devise new applications”¹.
- A4.2.3 Except where such activities meet the definition of research in subsection A4.2.1, the Discovery Programme does not support production of:
- a. compilation of data, computer programs, research aids and tools;
 - b. descriptive data compilations, catalogues or bibliographies; or
 - c. teaching materials.
- A4.2.4 The Discovery Programme does not support Medical Research, as defined in section A3 of these Funding Rules.

A5. Funding

A5.1 Level and Period of Funding

- A5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- A5.1.2 The level and period of funding as well as details on supported budget items for each of the schemes under the Discovery Programme are outlined in these Funding Rules.
- A5.1.3 The ARC reserves the right to recommend funding levels which may be less than those requested in the Proposal, and a duration of ARC funding which may differ from that requested in the Proposal.
- A5.1.4 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.

¹ OECD (2002), Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development, Paris (Page 30).

- A5.1.5 The Proposal must list all current funding and requested funding for each participant under any ARC scheme and any other Commonwealth funding scheme.
- A5.1.6 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

A5.2 Budget Items Supported

- A5.2.1 Budget items that directly support a research programme may be funded from project funding, including:
- a. access to national and international research and infrastructure facilities including specialist archives, collections and databases;
 - b. access to Workshop Services linked to and justified explicitly against the Project (for example, machine tools and qualified technicians);
 - c. expenditure on Field Research essential to the Project, including technical and logistical support, and travel and accommodation costs;
 - d. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:
 - i. language translation services, transcribing services;
 - ii. purchase of bibliographical or archival material (electronic or hard copy); and
 - iii. data collection and analysis services;
 - e. equipment (and its maintenance) and consumables required for the Project. Funding will not be provided for equipment or consumables that are deemed to be for broad general use;
 - f. personnel: for example postdoctoral research associates, research assistants, technicians and laboratory attendants. Salary support must be requested at an appropriate salary level for the Administering Organisation, including 30 per cent on-costs. Where the scheme-specific Parts of these rules contain a specified salary level, only funding up to this level may be requested from the ARC;
 - g. higher degree by research (HDR) stipends at a rate of \$25,861 per year (2015\$);
 - h. publication and dissemination of Project outputs and outreach activity costs;
 - i. specialised computer equipment and software essential to the Project;
 - j. teaching relief for CIs (not available for recipients of ARC Awards or Fellowships);
 - k. travel costs essential to the Project, as defined for each scheme in Parts B to E;
 - l. web hosting and web development specific to the Project; and

- m. workshops, focus groups and conferences (including reasonable hospitality costs such as morning tea, lunch and afternoon tea) that are necessary for the conduct of the proposed research.

A5.2.2 All budget items must be justified in the Proposal to the satisfaction of the ARC.

A5.2.3 For all other scheme-specific budget items supported, refer to Parts B to E of these Funding Rules.

A5.3 Budget Items Not Supported

A5.3.1 Budget items which will not be supported by ARC funding and should not be requested in the budget include:

- a. bench fees or similar laboratory access fees;
- b. capital works and general infrastructure costs;
- c. costs not directly related to research or the Project, including but not limited to professional membership fees, professional development courses, fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, costs of dependants, entertainment costs, insurance, and other indirect costs;
- d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and
- e. salaries and/or on-costs and/or HDR stipends, in whole or in part, for CIs or PIs.

A5.3.2 The following basic facilities must be provided and funded by the Administering Organisation, where relevant, and will not be funded by the ARC:

- a. access to a basic library collection;
- b. access to film or music editing facilities;
- c. accommodation (for example, laboratory and office space, suitably equipped and furnished);
- d. provision of basic computer facilities and standard software; and
- e. standard reference materials or funds for abstracting services.

A5.3.3 For all other scheme-specific budget items not supported, refer to Parts B to E of these Funding Rules.

A6. General Eligibility Requirements

A6.1 Eligible Organisations

A6.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation listed at section A12.

A6.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation. A Proposal may only be submitted once in the same funding scheme round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

A6.2 Limits on Projects and Proposals

A6.2.1 Within the Discovery Programme a researcher can be funded for a maximum of:

- a. two Projects as a CI, or
- b. one ARC Fellowship or ARC Award, and one Project as a CI.

A6.2.2 CIs on funded ARC Centres of Excellence commencing in 2017 or later, Industrial Transformation Research Hubs commencing in 2015 or later, Industrial Transformation Training Centres commencing in 2016 or later, or Special Research Initiatives commencing in 2015 or later may only apply for or hold one Project/Award/Fellowship under the Discovery Programme.

A6.2.3 These limits do not apply to Partner Investigators, or to other participants on Projects such as higher degree by research students and research assistants.

A6.2.4 A researcher cannot concurrently hold more than one ARC Fellowship or Award, and a holder of an ARC Fellowship or Award cannot concurrently hold a Fellowship from another Commonwealth funding agency. Successful ARC Fellows or Awardees will be required to relinquish other Commonwealth fellowships prior to the commencement of the ARC Fellowship or Award.

A6.2.5 A recipient of an ARC Fellowship or ARC Award cannot apply for a subsequent Fellowship or Award in the same scheme.

A6.2.6 A Proposal may only be submitted for funding that the researcher would be eligible to hold under these rules as at the Commencement Date of the Project/Fellowship/Award being applied for. The ARC will calculate this rule as at the closing time of submission of Proposals, by totalling:

- a. the number of current Discovery Programme CI roles, Fellowships or Awards, in addition to roles referred to in A6.2.2, for which the researcher will remain funded as at the Commencement Date of the funding being applied for; and
- b. the number of Discovery Programme Proposals submitted to the ARC which include that researcher as a CI, Fellow or Award recipient.

Notwithstanding the above, an *Australian Laureate Fellowships* proposal will not be ruled ineligible due to this subsection. A successful Australian Laureate Fellow will be required to relinquish existing projects in order to comply with subsection A6.2.1 and A6.2.2 after the award of the Australian Laureate Fellowship.

- A6.2.7 For eligibility purposes a currently funded Project is considered to be funded for the years set out in the original Funding Agreement.
- A6.2.8 Except for *Australian Laureate Fellowships* proposals, relinquishments of existing Discovery Programme CI roles, Fellowships or Awards that are approved after the closing time of submission of Proposals will not be taken into account for the purposes of calculating the limits in this section.

A6.3 Eligibility process

- A6.3.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.
- A6.3.2 A decision under subsection A6.3.1 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.
- A6.3.3 For additional scheme-specific eligibility requirements refer to Parts B to E of these Funding Rules.

A7. Submission of Proposals

A7.1 Proposals

- A7.1.1 The Proposal must be submitted as a mature research plan presenting the proposed Project ready for implementation and must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.
- A7.1.2 All details in the Proposal must be current at the time of submission.

A7.2 Submission of Proposals in RMS

- A7.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.
- A7.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS online form and the relevant scheme Instructions to Applicants.

A7.3 Closing Time for Proposals

- A7.3.1 The online form completed within RMS must be submitted by the relevant scheme closing date and time on the Important Dates page on the ARC website at www.arc.gov.au.
- A7.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- A7.3.3 Upon receipt of a written request with justification from the Administering Organisation the ARC may approve the withdrawal of a Proposal. The ARC will only approve such a request in exceptional circumstances.

A7.4 Certification in RMS

- A7.4.1 The Administering Organisation must certify a Proposal online in RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals.
- A7.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

A7.5 Conflict of Interest

- A7.5.1 Each participant or organisation named in a Proposal must declare to the Administering Organisation at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.
- A7.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007), the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.
- A7.5.3 As part of the certification at A7.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A7.5.1, and that any Conflict of Interest will be managed in accordance with A7.5.2.

A8. Selection and Approval Process

A8.1 Assessment and Selection Process

- A8.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.
- A8.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.
- A8.1.3 All Proposals may be:
- a. assigned to independent assessors, from a range of organisations, who will assess and report, which may include written comments, on the Proposal against the selection criteria; and
 - b. ranked and allocated a budget, relative to other Proposals, by the ARC College of Experts or a Selection Advisory Committee (SAC), on the basis of the Proposal, any assessors' reports and any rejoinder.
- A8.1.4 The ARC may cease the progression of Proposals at any time during the selection process. Grounds for cessation include, but are not limited to:
- a. not meeting the eligibility requirements set out in these Funding Rules; or

b. providing incomplete, inaccurate or misleading information.

A8.1.5 Following the recommendations of the ARC College of Experts or a SAC, the CEO will make recommendations to the Minister in relation to which Proposals should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.

A8.1.6 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the ARC College of Experts or a SAC, members of other ARC Committees and ARC staff.

A8.2 Rejoinder

A8.2.1 The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation or to Proposal participants.

A8.3 Request Not to Assess

Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a 'Request Not to Assess' as detailed on the ARC website at www.arc.gov.au. This form must be received by the ARC by the relevant scheme closing date and time available on the Important Dates page on the ARC website at www.arc.gov.au. While the ARC may accommodate such requests, only one request may be submitted per Proposal and any request containing more than three individual assessors to be excluded for a Proposal must be directly supported in writing by the Deputy Vice-Chancellor (Research) or equivalent of the Administering Organisation with evidence justifying the exclusion of all assessors requested.

A8.4 Recommendations and Offer of Funding

A8.4.1 In accordance with the ARC Act, the ARC CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.

A8.4.2 Under the ARC Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.

A8.4.3 All Administering Organisations will be notified of the outcomes of their Proposals (including Proposals not recommended for funding). Outcomes, funding allocations and other relevant information about the successful Proposals will be published on the ARC website.

A8.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.

A8.4.5 The ARC may vary the funding approval if, in the opinion of the ARC, the particular circumstances of the Project warrant variation. Any variation or

change will accord with the relevant Funding Rules and Funding Agreement.

A9. Appeals Process

- A9.1 Applicants for funding under the schemes of the *NCGP* are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the Proposal has been treated fairly and consistently in the context of selection procedures.
- A9.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome. Appellants must identify the specific Funding Rule clause, policy or procedure which they believe has been incorrectly applied.
- A9.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at www.arc.gov.au, authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm (AEDT/AEST) on the appeals submission due date.
- A9.4 Appeals must be sent to the Appeals address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy Appeal submissions.
- A9.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options. Regarding available options for external appeal, the Administrative Appeals Tribunal does not have general power to review ARC decisions.

A10. Reporting Requirements

Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au.

A10.1 Progress Reports by exception

- A10.1.1 For all years except the final year, Progress Reports must be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.
- A10.1.2 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding monies will be recovered by the ARC.
- A10.1.3 When required, Progress Reports must be submitted by 31 March in the year following each calendar year for which the funding was awarded as directed by the ARC.

A10.2 End of Year Reports

A10.2.1 The Administering Organisation must submit an End of Year Report by 31 March in the year following each calendar year for which the funding was awarded, in accordance with the instructions to be provided by the ARC each year.

A10.3 Final Report

A10.3.1 A Final Report must be submitted for the Project within 12 months of the final payment or within 12 months of the final approved carryover of funds.

A10.3.2 The Final Report must address compliance with the *ARC Open Access Policy* as detailed at A11.5.

A10.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants on the Project.

A10.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

A11. Fundamental Principles of Conducting Research

A11.1 Ethics and Research Practices

A11.1.1 All Proposals and ARC-funded research Projects must conform to the principles outlined in the following and their successor documents:

- a. NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007)
- b. as applicable, the NHMRC/ARC/UA *National Statement on Ethical Conduct in Human Research* (2007, updated 2015)
- c. as applicable, NHMRC *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003)
- d. as applicable, *Australian Institute of Aboriginal and Torres Strait Islander Studies Guidelines for Ethical Research in Australian Indigenous Studies* (2012)
- e. as applicable, *Australia Council for the Arts Indigenous Cultural Protocols for Producing Indigenous Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007)
- f. as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013) endorsed by the NHMRC, the ARC, the Commonwealth Scientific and Industrial Research Organisation and UA.

A11.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

A11.2 Applicable Law

A11.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988*, the *Freedom of Information Act 1982* and the *Criminal Code Act 1995*.

A11.3 Confidentiality

A11.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:

- a. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties in order to assess, evaluate or verify the quality, accuracy or completeness of a Proposal;
- b. disclosed by ARC personnel to third parties to enable effective management or auditing of the Discovery Programme schemes or any Funding Agreement;
- c. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties solely to comply with obligations or exercise rights under the *ARC Research Integrity and Research Misconduct Policy*;
- d. disclosed by the ARC to the relevant Minister and their staff;
- e. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
- f. authorised or required by law to be disclosed;
- g. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
- h. in the public domain.

A11.3.2 Where information contained in a Proposal is made available to third parties for evaluation, assessment or audit purposes the ARC will require the third parties to maintain the confidentiality of the material, including any intellectual property contained in the Proposal.

A11.3.3 In addition to the exemptions listed at A11.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project: the name of the Administering Organisation and any other parties involved in or associated with the Project; named participants and their organisations; the proposed research programme (the title and summary descriptions of the Project); classifications and international collaboration country names; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Proposal title and summary descriptions would not, if released, compromise their own requirements for confidentiality (such as protection of intellectual property).

A11.3.4 In making public information about a Proposal which has been approved for funding, the ARC may use a Project description, including title and summary, which may differ from that provided in the Proposal.

A11.4 Intellectual Property

A11.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from a Project.

A11.4.2 The Administering Organisation must adhere to an intellectual property policy, approved by the Administering Organisation's governing body, which has as one of its aims the maximisation of benefits to Australia arising from research. The Administering Organisation should ensure that applicants for ARC funding are familiar with the current intellectual property landscape for the proposal. Unless otherwise approved by the Commonwealth, the Administering Organisation's intellectual property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* and/or any successor document/s.

A11.5 Publication and Dissemination of Research Outputs

A11.5.1 All ARC-funded research projects must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is available at www.arc.gov.au. In accordance with this policy, any publications arising from a Project must be deposited into an open access institutional repository within a twelve month period from the date of publication. When depositing publications in an institutional repository the ARC Project ID should be included in the metadata.

A11.5.2 Researchers and institutions have an obligation to care for and maintain research data in accordance with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007). The ARC considers data management planning an important part of the responsible conduct of research and strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository.

A11.5.3 The ARC encourages all researchers applying for funding to have an ORCID identifier.

A11.6 Misconduct, Incomplete or Misleading Information

A11.6.1 All ARC-funded research projects must comply with the *ARC Research Integrity and Research Misconduct Policy*, which is available at www.arc.gov.au.

A11.6.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

A11.6.3 A decision under subsection A11.6.2 may be made by the ARC at any stage during the assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.

A11.6.4 Examples of misleading information and misconduct include:

- a. providing fictitious research opportunity and performance evidence;
- b. plagiarism;
- c. making false claims in relation to the authorship of the Proposal;
- d. failing to make adequate acknowledgement of intellectual, design or other significant contributions to the Proposal;
- e. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
- f. making false claims in relation to qualifications and/or appointments;
- g. making false certifications; or
- h. failing to disclose to the Administering Organisation the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

A12. Eligible Organisations

A12.1 Higher Education Organisations

Australian Capital Territory

The Australian National University
University of Canberra

New South Wales

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

Northern Territory

Batchelor Institute of Indigenous Tertiary Education
Charles Darwin University

Queensland

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

South Australia

The Flinders University of South Australia
The University of Adelaide
Torrens University Australia
University of South Australia

Tasmania

University of Tasmania

Victoria

Deakin University
Federation University Australia
La Trobe University
Monash University
Royal Melbourne Institute of Technology (RMIT University)
Swinburne University of Technology
The University of Melbourne
University of Divinity
Victoria University

Western Australia

Curtin University of Technology
Edith Cowan University
Murdoch University
The University of Notre Dame Australia
The University of Western Australia

A12.2 Other Eligible Organisations

Australian Institute of Aboriginal and Torres Strait Islander Studies
(AIATSIS)

Part B – Scheme-specific rules for *Australian Laureate Fellowships* for funding commencing in 2016

B1. Interpretation

Part B contains the scheme-specific rules for *Australian Laureate Fellowships* for funding commencing in 2016.

B1.1 Commencement Date

The Commencement Date for *Australian Laureate Fellowships* for funding commencing in 2016 is 1 July 2016.

B2. Additional definitions for Part B

Postdoctoral Research Associate (PDRA) means a postdoctoral research associate funded by the Commonwealth through the Administering Organisation, who will be employed on the Project.

Postgraduate Researcher (PGR) means a postgraduate research student funded by the Commonwealth through the Administering Organisation, who will undertake a higher degree by research through the Project.

B3. Objectives

B3.1 The objectives of the Australian Laureate Fellowships scheme are to:

- a. attract and retain outstanding researchers and research leaders of international reputation;
- b. support ground-breaking, internationally competitive research;
- c. provide an excellent research training environment and exemplary mentorship to nurture early-career researchers;
- d. forge strong links among researchers, the international research community and/or industry;
- e. expand Australia's knowledge base and research capability; and
- f. enhance the scale and focus of research in the Science and Research Priorities.

B3.2 Preference will be given to researchers who will play a significant, sustained leadership and mentoring role in increasing Australia's internationally competitive research capacity.

B3.3 Up to 17 Australian Laureate Fellowships may be awarded for funding commencing in 2016, including named fellowships as outlined in subsection B3.4.

B3.4 Two named Australian Laureate Fellowships may be awarded to successful female Australian Laureate Fellows for funding commencing in 2016. A *Kathleen Fitzpatrick Australian Laureate Fellowship* will be available to a highly ranked female candidate from the humanities, arts and social science

disciplines, and a *Georgina Sweet Australian Laureate Fellowship* will be available to a highly ranked female candidate from the science and technology disciplines. Recipients will be provided with additional funding to undertake an ambassadorial role to promote women in research. Recipients will be subject to the same conditions and obligations that apply to Australian Laureate Fellowships as outlined in these Funding Rules, as well as meeting the additional requirements outlined in section B8 of these Funding Rules.

- B3.5 In addition to the reporting requirements at section A10, Administering Organisations for successful Australian Laureate Fellowship Projects will be required to submit mid-term case studies for each Project. The ARC will provide details to Administering Organisations regarding this requirement.

B4. Selection Criteria

- B4.1 All Proposals that meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:

- a. Investigator 40%
 - (i) Research Opportunity and Performance Evidence (ROPE)
 - evidence of outstanding research output and achievement taking into account research opportunity;
 - potential to undertake ground-breaking research;
 - outstanding leadership ability;
 - potential to create an enduring legacy that would be enhanced by the Australian Laureate Fellowship; and
 - contribution to national and international public policy debates and initiatives.
 - (ii) Time and capacity to undertake the proposed research.
- b. Project/Programme of Research Activity 30%
 - (i) Innovation
 - Are the project aims and concepts original and innovative, representing the leading edge of research in the field?
 - Will new methods, technologies, theories or ideas be developed?
 - How does the research programme enhance innovation in Australia?
 - (ii) Approach
 - Are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the project?

- (iii) Significance and national benefit
 - Does the research address an important problem?
 - How will the anticipated outcomes advance the knowledge base?
 - Is there a major contribution to public policy formulation and debate?
 - Will the proposed research maximise economic, environmental, social, health and/or cultural benefit to Australia?
 - Will the proposed research be cost-effective and value for money?
 - What is the potential for the research to contribute to the Science and Research Priorities?
 - Will this research build new international research collaboration or links between research and industry?

c. Mentoring/Capacity Building 30%

- Does the proposal show how the project will build new teams and create world-class research capacity, collaboration and innovation?
- Does the Australian Laureate Fellowship Candidate:
 - demonstrate exceptional ability to supervise and to mentor postdoctoral researchers and other early-mid career researchers?
 - have a record of successful postgraduate supervision, where applicable?
 - provide evidence in the proposal of a suitable Project Research Environment for postgraduate students and postdoctoral researchers?
 - demonstrate exceptional leadership and the organisational ability to ensure the development of scale and focus in research?
 - provide evidence of the potential to attract financial resources to enhance research capacity?

B5. Funding

B5.1 Level and Period of Funding

- B5.1.1 The Administering Organisation must provide a salary of a Level E professorial appointment (or equivalent) for the Australian Laureate Fellow, with the ARC providing the salary supplement.

- B5.1.2 The level of salary supplement that will be provided by the ARC for an Australian Laureate Fellow, in addition to funding for PDRAs and PGRs, is specified in section B9.
- B5.1.3 The ARC may provide project funding of up to \$300,000 per annum (for up to five years). Requests for project funding may include additional postdoctoral and postgraduate researchers. Such additional postdoctoral and postgraduate researchers will not be considered to be PDRAs or PGRs.
- B5.1.4 Funding may be payable under these Funding Rules for *Australian Laureate Fellowships* in respect of the financial year 2016-17 and any subsequent years to which the ARC Act applies. Funding for approved Projects will commence with effect 1 July 2016, unless other arrangements are approved by the ARC.
- B5.1.5 Australian Laureate Fellowships are normally funded for five years on a full-time basis, subject to sufficient funding being available for *Australian Laureate Fellowships*, the provisions of the ARC Act, and continued satisfactory progress of the Project.
- B5.1.6 PDRAs are normally awarded for five years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the PDRA as determined by the ARC. The ARC supports part-time employment for PDRAs subject to the employment conditions of the Administering Organisation.
- B5.1.7 PGRs are normally funded for four years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the PGR as determined by the ARC.

B5.2 Budget Items Supported

- B5.2.1 In addition to budget items supported under subsection A5.2, personnel costs may be supported under the *Australian Laureate Fellowships* scheme as outlined in section B9.
- B5.2.2 Domestic and international economy travel costs may be supported, subject to the policies of the Administering Organisation. Funding is permitted for domestic and international economy travel associated with the Project, including to foster and strengthen collaborations between researchers in Australia and overseas.
- B5.2.3 Additional funding may be requested subject to B8.1.2 where the candidate has applied for either the Kathleen Fitzpatrick Australian Laureate Fellowship or Georgina Sweet Australian Laureate Fellowship and intends to use these funds as part of their ambassadorial role to promote women in research.

B6. Employment of Australian Laureate Fellows

- B6.1.1 The Administering Organisation must provide Australian Laureate Fellows with a Level E professorial appointment (or equivalent) and salary for the duration of the Australian Laureate Fellowship.

- B6.1.2 The Australian Laureate Fellow must be an employee of the Administering Organisation for the duration of the Australian Laureate Fellowship.
- B6.1.3 The Australian Laureate Fellow is expected to spend a minimum of 20 per cent of her/his time on activities at the Administering Organisation.
- B6.1.4 The Australian Laureate Fellow is expected to spend a minimum of 80 per cent of her/his time on research activities related to the proposed Australian Laureate Fellowship.
- B6.1.5 In exceptional circumstances other appointments may be approved where, in the view of the ARC, such appointments would enhance the Fellowship. Approval for any such appointments must be sought from the ARC, and will be at the absolute discretion of the ARC.

B7. Roles and Eligibility

B7.1 Additional eligibility criteria for Australian Laureate Fellows

- B7.1.1 A Proposal must nominate one Australian Laureate Fellowship Candidate. Australian Laureate Fellowship Candidates may be nominated on no more than one Proposal in this funding round, evaluated as at the closing time of submission of Proposals, regardless of any subsequent change in, or withdrawal of, Proposals.
- B7.1.2 A Proposal may be submitted for an Australian Laureate Fellowship on behalf of an Australian or international researcher. An Australian Laureate Fellowship Candidate may hold a continuing or non-continuing appointment in Australia or overseas at the time the Proposal is submitted.
- B7.1.3 At the time of the submission of a Proposal, all obligations regarding previously funded ARC Projects involving the Australian Laureate Fellowship Candidate must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.
- B7.1.4 An Australian Laureate Fellowship Candidate must take responsibility for:
- a. the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant; and
 - b. the conduct of the Project, and any strategic decisions required in its pursuit and the communication of its results.
- B7.1.5 Australian Laureate Fellows who are not Australian citizens must obtain a legal right to work and reside in Australia for the duration of the Australian Laureate Fellowship.
- B7.1.6 Australian Laureate Fellows must reside in Australia for a minimum of three out of the five years of the Fellowship, except where ARC approval has been granted.
- B7.1.7 Australian Laureate Fellows are expected to pursue research that is at the international leading edge in their field. To facilitate this aim, Australian

Laureate Fellows may, with the approval of the ARC undertake research outside Australia for periods of up to two years in total, providing that the Administering Organisation clearly demonstrates this is in the best interests of the research and its outcomes, and of national benefit to Australia.

- B7.1.8 Prior to the commencement of an Australian Laureate Fellowship, any existing responsibilities must be relinquished, except the Australian Laureate Fellowship Level E salaried position, unless otherwise approved by the ARC. ARC approval must also be obtained for any responsibilities after the award.
- B7.1.9 Australian Laureate Fellows are normally expected to work a minimum of 80 per cent (0.8 Full Time Equivalent (FTE)) on research and research capacity-building activities. Research capacity-building activities could include research leadership in teams and centres (ARC Centres or other research-related centres) and supervision of postgraduate students, but do not include a major role in administration. While an Australian Laureate Fellow's principal duty is to undertake research, it is also important to specify in the Proposal the role he/she would be expected to play within the Administering Organisation, and if applicable, the ARC Centre or other research-related centre.
- B7.1.10 The Administering Organisation must ensure the Australian Laureate Fellow has access to periods of up to 14 weeks paid maternity leave where such leave is taken during the course of the Australian Laureate Fellowship. The ARC will provide up to 14 weeks additional funding per period for this purpose, and the Australian Laureate Fellowship period will be extended for a period equivalent to the duration of paid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- B7.1.11 The Administering Organisation must ensure that Australian Laureate Fellows are entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the parent who is not identified as the primary caregiver during the course of the Australian Laureate Fellowship. The ARC will provide up to two weeks additional funding for this purpose per period, and the Australian Laureate Fellowship period will be extended for a period equivalent to the duration of the paid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- B7.1.12 The Australian Laureate Fellow may spend up to 0.2 FTE (20 per cent of Full Time Equivalent) of her/his time on teaching activities. Supervision of honours or postgraduate students is not included in this limit. The Australian Laureate Fellowship will not be extended to accommodate any periods of teaching.

B7.2 Eligibility Criteria for Postdoctoral Research Associates (PDRAs)

- B7.2.1 A PDRA must have been awarded a PhD or obtain approval from the ARC as having a research degree or experience equivalent to the award of a PhD.

- B7.2.2 The total number of funded PDRA full-time equivalent (FTE) positions can be varied to meet the needs of the Project. It is the responsibility of the Administering Organisation to ensure that the total number of funded FTE equivalent Positions is not exceeded over the life of the Project.
- B7.2.3 Approval may be sought from the ARC for a PDRA to undertake overseas research for a total of up to two years, provided that it is in the best interests of the research and its outcomes, and of national benefit to Australia.

B7.3 Eligibility Criteria for Postgraduate Researchers (PGRs)

- B7.3.1 To be eligible to receive postgraduate research funding, a student must:
- a. be enrolled in a full-time higher degree by research at an Eligible Organisation;
 - b. have an appropriate Honours 1 or 2A (or equivalent) undergraduate degree (this may be relaxed where a candidate has developed considerable research expertise in industry);
 - c. not be receiving similar funding or stipend from another Commonwealth programme;
 - d. not have completed a degree at the same level or at a higher level in the same field of endeavour; and
 - e. not previously have held an Australian Postgraduate Award (APA) or Australian Postgraduate Award Industry (APAI) unless it was terminated within the first six months of the earlier award.

B8. Kathleen Fitzpatrick Australian Laureate Fellowship and Georgina Sweet Australian Laureate Fellowship

- B8.1.1 The *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship* aim to encourage applications from female research leaders of international repute.
- B8.1.2 These two fellowships involve the provision of additional funding of up to \$20,000 per annum (for five years) to each of the successful recipients to undertake an ambassadorial role to promote women in research and to mentor early career researchers, particularly women, to encourage them to enter and establish careers in research in Australia.
- B8.1.3 A *Kathleen Fitzpatrick Australian Laureate Fellowship* will be available to a highly ranked female candidate from the humanities, arts and social science disciplines, and a *Georgina Sweet Australian Laureate Fellowship* will be available to a highly ranked female candidate from the science and technology disciplines.
- B8.1.4 Recipients of a *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship* must be female, and must also meet the eligibility criteria for Australian Laureate Fellows outlined in subsection B7.1 of these Funding Rules. Candidates will be required to

indicate their willingness to take on the ambassadorial role within their Proposal, including providing a brief outline of their proposed activities.

- B8.1.5 Candidates who apply for a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will be assessed against the same selection criteria and will be subject to the same conditions and obligations that apply to all Australian Laureate Fellowship Candidates as outlined in these Funding Rules. Preference will be given to candidates who are able to demonstrate outstanding mentoring and capacity building qualities.
- B8.1.6 Candidates who are unsuccessful in obtaining a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will still be considered for an Australian Laureate Fellowship.
- B8.1.7 The ARC may in its absolute discretion decide not to award one or both of these named fellowships.

B9. Salary Support

- B9.1 The ARC will provide a salary supplement to a Professorial Level E (or equivalent) salary for a successful Australian Laureate Fellow:

	ARC Salary Supplement	On-costs 30%	Total (2015\$)
Australian Laureate Fellows	\$119,726	\$35,918	\$155,644

- B9.2 The ARC may provide additional funding for up to two PDRAs (for five years each) and up to two PGRs (for four years each):

	ARC Salary	On-costs 30%	Total (2015\$)
PDRA	\$73,510	\$22,053	\$95,563
PGR	\$25,861	N/A	\$25,861

- B9.3 The figures in this section are based on the 2015 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC website at www.arc.gov.au.

Part C - Scheme-specific rules for *Discovery Projects* for funding commencing in 2017

C1. Interpretation

Part C contains the scheme-specific rules for *Discovery Projects* for funding commencing in 2017.

C1.1 Commencement Date

The Commencement Date for *Discovery Projects* for funding commencing in 2017 is 1 January 2017.

C2. Objectives

C2.1 The objectives of the *Discovery Projects* scheme are to:

- a. support excellent basic and applied research by individuals and teams;
- b. encourage research and research training in high-quality research environments;
- c. enhance international collaboration in research;
- d. expand Australia's knowledge base and research capability; and
- e. enhance the scale and focus of research in the Science and Research Priorities.

C3. Selection Criteria

C3.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Investigator(s) 40%
 - Research opportunity and performance evidence (ROPE); and
 - Time and capacity to undertake the proposed research.
- b. Project Quality and Innovation 25%
 - Does the research address a significant problem?
 - Is the conceptual/theoretical framework innovative and original?
 - What is the potential for the research to contribute to the Science and Research Priorities?
 - Will the aims, concepts, methods and results advance knowledge?
 - What is the potential for the research to enhance international collaboration?
- c. Feasibility and Benefit 20%

- Do the Project's design, participants and requested budget create confidence in the timely and successful completion of the Project?
 - Will the completed Project produce innovative economic, commercial, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?
- d. Project Research Environment 15%
- Is there an existing, or developing, supportive and high quality research environment for this Project and for HDR students where appropriate?
 - Are the necessary facilities available to complete the Project?
 - Are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?

C4. Funding

C4.1 Level and Period of Funding

- C4.1.1 The minimum level of funding provided by the ARC under *Discovery Projects* is \$30,000 per year of funding and the maximum is \$500,000 per year of funding per Project.
- C4.1.2 A Project may be applied for and awarded ARC funding for up to five consecutive years. A Proposal must request ARC funding in all years of the Project.
- C4.1.3 Funding for approved projects will commence effective 1 January 2017, unless other arrangements are approved by the ARC.

C5. Budget Items Supported

- C5.1 Budget items supported are listed under subsection A5.2, subject to the following limitations:
- a. teaching relief for CIs may be supported up to a total of \$50,000 per year per project;
 - b. travel costs essential to the Project may be supported, including economy travel costs for domestic and/or international travel, up to \$50,000 over the life of the Project. Travel costs related to carrying out Field Research are not included in this \$50,000 limit on travel.
- C5.2 In addition, Discovery International Awards (DIAs) will be funded as a Special Condition and may be requested:
- a. for up to two researchers (either CIs or PIs) per Proposal;
 - b. for a CI to work overseas on the Project with an overseas based PI subject to C6.2.5 of these Funding Rules, and/or a PI based overseas to

work in Australia on the Project. Preference will be given to overseas-based PIs to travel to Australia for collaborative research. DIAs do not fund travel to Australia by PIs located at an overseas campus of an Australian Eligible Organisation; and

- c. to fund the following items: travel on international return economy class airfares, reasonable local travel, a living allowance and consumables. The living allowance should be based on standard institutional rates for academic visitors.

C6. Roles and Eligibility for Researchers

C6.1 Additional Eligibility Requirements for *Discovery Projects*

C6.1.1 Roles that may be undertaken by researchers are:

- a. Chief Investigator (CI); or
- b. Partner Investigator (PI).

C6.1.2 A Proposal must nominate at least one CI; the first named CI will be the Project Leader.

C6.1.3 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the nominated CIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

C6.2 Eligibility Criteria for Chief Investigators (CIs)

C6.2.1 As at 1 January 2017 a researcher nominated on a Proposal as a CI must meet at least one of the following criteria:

- a. be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or
- b. be a holder of an **Emeritus Appointment** (as defined at section A3) at an Eligible Organisation.

CIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their CI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

C6.2.2 Researchers undertaking a higher degree by research are not eligible to be CIs. Researchers must have their higher degree by research conferred by the Commencement Date of the Project in order to be eligible.

C6.2.3 A CI must take responsibility for:

- a. the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant; and

- b. the conduct of the Project, and any strategic decisions required in its pursuit and the communication of its results.
- C6.2.4 A CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.
- C6.2.5 A CI must normally reside predominantly in Australia for the life of the Project. A CI may seek approval from the Administering Organisation to undertake Field Research, or study leave, directly related to the Project. Such absences must not total more than half the Project funding period.
- C6.2.6 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that the Project still includes at least one CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.
- C6.2.7 If a Proposal with a sole CI has been approved for funding and that CI is, at any time, no longer able to work as proposed on the Project, the Project must be terminated.

C6.3 Eligibility Criteria for Partner Investigators (PIs)

- C6.3.1 As at 1 January 2017 a researcher nominated as a PI on a Proposal must:
 - a. not meet the eligibility criteria for CI; and
 - b. take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The PI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

PIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their PI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

- C6.3.2 A researcher who is an employee of an Eligible Organisation listed in A12 who does not reside predominantly in Australia may be a PI.

Part D - Scheme-specific rules for *Discovery Early Career Researcher Award* for funding commencing in 2017

D1. Interpretation

Part D contains the scheme-specific rules for *Discovery Early Career Researcher Award* for funding commencing in 2017.

D1.1 Commencement Date

The Commencement Date for *Discovery Early Career Researcher Award* for funding commencing in 2017 is 1 January 2017.

D2. Additional definitions for Part D

DECRA Candidate means a researcher nominated in a Proposal for a *Discovery Early Career Researcher Award*.

DECRA Recipient means a researcher awarded funding under the *Discovery Early Career Researcher Award* scheme.

Eligibility Exemption Request is for the purposes of obtaining an exemption from the ARC regarding the eligibility of a prospective Proposal.

D3. Objectives

D3.1 The objectives of the *Discovery Early Career Researcher Award* (DECRA) scheme are to:

- a. support excellent basic and applied research by early career researchers;
- b. advance promising early career researchers and promote enhanced opportunities for diverse career pathways;
- c. enable research and research training in high quality and supportive environments;
- d. expand Australia's knowledge base and research capability; and
- e. enhance the scale and focus of research in the Science and Research Priorities.

D3.1.2 Under the DECRA scheme up to 200 three year awards will be offered to early career researchers each year.

D4. Selection Criteria

D4.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Project Quality and Innovation 40%
 - Does the research address a significant problem?
 - Is the conceptual/theoretical framework innovative and original?

- What is the potential for the research to contribute to the Science and Research Priorities?
- Will the aims, concepts, methods and results advance knowledge?
- b. DECRA Candidate 35%
 - Research opportunity and performance evidence (ROPE); and
 - Time and capacity to undertake the proposed research.
- c. Project Research Environment 15%
 - Is there a supportive and collaborative research environment for the project?
 - Will the Project provide the DECRA Candidate with the capacity and opportunity to develop an independent record of innovative, high quality research?
 - Are the necessary facilities available to complete the Project?
 - Are there adequate strategies to encourage dissemination, commercialisation, if appropriate, and promotion of research outcomes?
- d. Feasibility and Benefit 10%
 - Are the design of the project and the expertise of the participants sufficient to ensure the Project can be completed with the proposed budget and timeframe?
 - Will the completed Project produce innovative economic, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?

D5. Strategic Statement

D5.1 The Administering Organisation must provide a statement in relation to the Project Research Environment within the Proposal which:

- a. indicates that this area is a core or emerging research strength and describes the level of resources to be provided to support the successful DECRA candidate (for example, project costs, PhD students, or salary top-up);
- b. details opportunities for the DECRA Candidate to demonstrate the level of independence required to be competitive for research and/or research and teaching pathways at the Administering Organisation during and after the Project; and
- c. is signed by the Deputy Vice-Chancellor (Research) or equivalent.

D6. Funding

D6.1 Level and Period of Funding

- D6.1.1 A DECRA recipient may be awarded ARC funding of up to \$137,708 per year of funding. The per annum salary contribution from the ARC is fixed at \$97,708 (2015\$), including 30 per cent on-costs, and up to a maximum of \$40,000 project costs. Salary and/or project costs will not be awarded separately.
- D6.1.2 A DECRA may be applied for and awarded ARC funding for three consecutive years on a full-time basis. Subject to the conditions in subsection D7.2.6, a DECRA Project may be undertaken on a part-time basis not exceeding six consecutive years.
- D6.1.3 Funding for a DECRA Project will commence effective 1 January 2017, unless other arrangements are approved by the ARC.

D6.2 Budget Items Supported

- D6.2.1 Budget items which directly support the research Project may be funded from the project costs. A list of budget items which may be funded is provided at A5.2. Further clarification is provided for the following items:
- a. Up to one higher degree by research stipend may be supported per Proposal (this stipend may be divided amongst more than one person, for example two students at 0.5 FTE each);
 - b. travel costs essential to the Project may be supported, including economy travel costs for domestic and/or international travel, up to \$50,000 over the life of the Project. Travel and accommodation costs related to carrying out Field Research are not included in this \$50,000 limit.
- D6.2.2 All eligible requested funding costs must be justified in the Proposal to the satisfaction of the ARC.
- D6.2.3 Funding for the DECRA Recipient's salary component may be used for other purposes to support the Project in exceptional circumstances with the approval of the ARC without extension to the life of the Project. The use of DECRA funding for other purposes does not confer an exemption from the rules in A6.2.

D6.3 Budget Items Not Supported

- D6.3.1 A list of budget items which will not be supported by ARC funding and should not be requested in the budget is provided at A5.3.

D7. Scheme specific eligibility requirements

D7.1 Application Limits

- D7.1.1 DECRA Candidates may be nominated on no more than one Proposal in this DECRA funding round, evaluated as at the closing time of submission

of Proposals, regardless of any subsequent change in, or withdrawal of, Proposals.

- D7.1.2 A researcher may only apply for up to two DECRA's over the period in which they are eligible, unless otherwise approved by the ARC. This includes Proposals that have been withdrawn after the closing time of submission of Proposals, and Proposals which were deemed ineligible by the ARC.

D7.2 DECRA Candidate and Role

- D7.2.1 The DECRA Recipient must be an employee at the Administering Organisation for the duration of the Fellowship.
- D7.2.2 The DECRA Recipient is expected to spend a minimum of 20 per cent of her/his time on activities at the Administering Organisation.
- D7.2.3 The DECRA Recipient is expected to spend a minimum of 80 per cent of her/his time on research activities related to the proposed DECRA.
- D7.2.4 The DECRA Recipient may not engage in other professional employment for the duration of the DECRA without prior approval from the ARC under subsection D7.2.6.
- D7.2.5 A DECRA Candidate must take responsibility for:
- a. the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant; and
 - b. the conduct of the Project, and any strategic decisions required in its pursuit and the communication of its results.
- D7.2.6 The DECRA may be awarded on a full-time basis, or a part-time basis if the DECRA Recipient is required to fulfil family and/or carer responsibilities. The DECRA may be converted to (or from) part-time at any time to enable the DECRA Recipient to fulfil family and/or carer responsibilities, or with the prior approval of the ARC to pursue exceptional research opportunities, provided that the DECRA does not exceed six years from the date of commencement (excluding any approved periods of suspension and/or maternity and/or partner/parental leave). A DECRA does not have a minimum full-time equivalent (FTE) for ARC purposes, but the FTE of the DECRA Recipient for ARC purposes must match that of the DECRA Recipient's employment contract. The Administering Organisation and not the ARC is to manage changes to the DECRA Recipient's working hours. The Administering Organisation will notify the ARC of any changes to working hours.
- D7.2.7 The Administering Organisation must ensure a DECRA recipient has access to periods of up to 14 weeks paid maternity leave where such leave is taken during the course of the Award. The ARC will provide up to 14 weeks additional funding per period for this purpose, and the DECRA period will be extended for a period equivalent to the duration of paid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.

- D7.2.8 The Administering Organisation must ensure that a DECRA Recipient is entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the partner/parent who is not identified as the primary caregiver during the course of the DECRA. The ARC will provide up to two weeks additional funding for this purpose per period, and the DECRA period will be extended for a period equivalent to the duration of the paid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- D7.2.9 The DECRA Recipient may spend up to 0.2 FTE (20 per cent of Full Time Equivalent) of her/his time annually on teaching activities. The DECRA will not be extended to accommodate any periods of teaching. Supervision of honours or postgraduate students is not included in this limit.

D7.3 Eligibility Criteria for the DECRA Candidate

- D7.3.1 A Proposal must only nominate one DECRA Candidate.
- D7.3.2 A DECRA Candidate must at the closing time of submission of Proposals:
- a. have been awarded a PhD on or after 1 March 2011; or
 - b. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in subsection D7.4, for having been awarded a PhD on or after 1 March 2007 (except as provided for in subsection D7.4.5), together with periods of significant career interruption (between the PhD award date and the closing time of submission of Proposals) which if taken into account would be commensurate with a PhD being awarded on or after 1 March 2011. Applications for the variation of timing will not be approved if the researcher was awarded their PhD before 1 March 2007, except as provided for in subsection D7.4.5.
- D7.3.3 If the DECRA Candidate holds a research higher degree which is not a PhD, it is the Administering Organisation's responsibility to certify that the DECRA Candidate's qualification meets the level 10 criteria of the *Australian Qualifications Framework Second Edition January 2013*. For assessing overseas qualifications please see the Country Education Profiles Online tool at www.aei.gov.au/cep. A subscription fee is required to access this service.
- D7.3.4 If the award date falls outside of the timing requirements outlined in subsection D7.3.2(a), the DECRA Candidate **must** submit an Eligibility Exemption Request pursuant to the process outlined in subsection D7.4.
- D7.3.5 A DECRA Recipient who is not an Australian citizen must obtain a legal right to work and reside in Australia for the duration of the Award.
- D7.3.6 A DECRA Recipient must not spend more than one third of the duration of the Award outside Australia or engaged in international travel, except where ARC approval has been granted.
- D7.3.7 At the closing time of submission of Proposals, all obligations regarding previously funded Projects involving the DECRA Candidate must have

been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

- D7.3.8 The DECRA Recipient must relinquish any fellowships or the duties of any existing appointments prior to commencement. The DECRA Recipient may hold honorary or non-remunerated fellowships. The Administering Organisation must ensure that honorary or non-remunerated fellowships will not impair the capacity of the DECRA Recipient to complete the proposed Project.
- D7.3.9 The DECRA Recipient cannot commence another ARC Fellowship or Award until the entire DECRA salary component has been expended.

D7.4 Eligibility Exemption Requests

- D7.4.1 An Eligibility Exemption Request, including all supporting documentation as detailed on the ARC website www.arc.gov.au, must be submitted to the ARC by the closing date and time on the Important Dates page on the ARC website at www.arc.gov.au, unless otherwise advised.
- D7.4.2 Eligibility Exemption Requests received after the closing date and time will only be considered in exceptional circumstances.
- D7.4.3 The Research Office will be advised of the outcome of any such request as soon as possible.
- D7.4.4 The ARC may grant an Eligibility Exemption for the DECRA Candidate who has been awarded a PhD on or after 1 March 2007 (or earlier as provided for in subsection D7.4.5), together with periods of significant career interruption (between the PhD award date and the closing time of submission of Proposals) which if taken into account would be commensurate with a PhD being awarded on or after 1 March 2011. Career interruptions of less than one month will not be considered. The following types of interruption will be considered:
- a. carer's responsibility
 - b. disruption due to international relocation for post-doctoral studies or other research employment not exceeding three months per international relocation
 - c. illness
 - d. maternity or parental leave
 - e. unemployment
 - f. non-research employment not concurrent with research employment
 - g. for the primary carer of a dependent child (inclusive of carer's responsibility and any maternity or partner/parental leave), two years per dependent child.
- D7.4.5 Candidates claiming an interruption under D7.4.4(g) may claim an interruption of more than four years and may be eligible where their PhD was awarded earlier than 1 March 2007, provided that where eligible interruptions are taken into account this would be commensurate with a PhD being awarded on or after 1 March 2011.

Part E - Scheme-specific rules for *Discovery Indigenous* for funding commencing in 2017

E1. Interpretation

Part E contains the scheme-specific rules for *Discovery Indigenous* for funding commencing in 2017.

E1.1 Commencement Date

The Commencement Date for *Discovery Indigenous* for funding commencing in 2017 is 1 January 2017.

E2. Additional Definition for Part E

Indigenous Australian means an Australian of Australian Aboriginal or Torres Strait Islander descent who identifies as an Australian Aborigine or Torres Strait Islander and is accepted as an Australian Aborigine or Torres Strait Islander in the community in which he/she lives or has lived.

E3. Introduction to *Discovery Indigenous*

E3.1 Overview

E3.1.1 The *Discovery Indigenous* scheme provides funding to Administering Organisations to support research programmes led by an Indigenous Australian researcher and builds the research capacity of higher degree research and early career researchers.

E3.2 Objectives

E3.2.1 The objectives of the *Discovery Indigenous* scheme are to:

- a. support excellent basic and applied research and research training by Indigenous Australian researchers as individuals and as teams;
- b. develop the research expertise of Indigenous Australian researchers;
- c. support and retain established Indigenous Australian researchers in Australian higher education institutions; and
- d. expand Australia's knowledge base and research capability.

E3.3 Selection Criteria

E3.3.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Project Quality and Innovation 40%
 - Does the research address a significant problem?
 - Is the conceptual/theoretical framework innovative and original?
 - Will the aims, concepts, methods and results advance knowledge?

- What is the potential for the research to contribute to the Science and Research Priorities?
- b. Investigator(s) 35%
 - Research opportunity and performance evidence (ROPE).
 - Time and capacity to undertake the proposed research.
- c. Project Research Environment 15%
 - Are there strategies for enabling collaboration with Australian Aboriginal and Torres Strait Islander communities where appropriate (for example, dialogue/collaboration with an Indigenous cultural mentor)?
 - Is there an existing or developing, supportive and high quality Project Research Environment?
 - Are the necessary facilities available to complete the Project?
 - Are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?
- d. Feasibility and Benefit 10%
 - Are the design of the Project and the expertise of the participants sufficient to ensure the Project can be completed within the proposed budget and timeframe?
 - Will the completed Project produce innovative economic, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?

E4. Funding

E4.1 Level and Period of Funding

- E4.1.1 The minimum level of funding provided for a Project by the ARC under the *Discovery Indigenous* scheme is \$30,000 per year and the maximum is \$500,000 per year.
- E4.1.2 A Proposal cannot request funding for a Discovery Australian Aboriginal and Torres Strait Islander Award (DAATSIA) only. If a Proposal requests a DAATSIA, the minimum level of funding of \$30,000 per year in project costs must also be requested in addition to the DAATSIA salary component detailed at E6.2.4. The \$500,000 maximum level of funding per year includes the DAATSIA.
- E4.1.3 A Project may be applied for and awarded ARC funding for up to five consecutive years. A Proposal must request ARC funding in all years of the Project.

E4.1.4 Funding for approved Projects will commence effective 1 January 2017, unless other arrangements are approved by the ARC.

E4.2 Budget Items Supported

E4.2.1 Budget items supported are listed under subsection A5.2, subject to the following limitations:

- a. teaching relief for CIs may be supported up to a total of \$50,000 per year per project;
- b. travel costs essential to the Project may be supported, including economy travel costs for domestic and/or international travel, up to \$50,000 over the life of the Project. Travel costs related to carrying out Field Research are not included in this \$50,000 limit on travel;
- c. higher degree by research stipends may be supported for up to two Indigenous Australian students enrolled at the Administering Organisation or another Eligible Organisation per Proposal; and

E4.2.2 In addition, stipends may be requested to support Indigenous Australian Honours students, subject to the policies of the Administering Organisation.

E4.2.3 All eligible requested funding must be justified in the Proposal to the satisfaction of the ARC.

E5. Roles and Eligibility for Researchers

E5.1 Researcher Roles and General Eligibility

E5.1.1 A Proposal must nominate at least one CI; the first-named CI must be an Indigenous Australian researcher as defined in E2 and will be the Project Leader.

E5.1.2 At the time of the submission of a Proposal, all obligations regarding previously funded ARC Projects involving the nominated CIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

E5.2 Eligibility Criteria for Chief Investigators (CI)

E5.2.1 As at 1 January 2017 a researcher nominated on a Proposal as a CI must meet at least one of the following criteria:

- a. be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or
- b. be a holder of an **Emeritus Appointment** (as defined at section A3) at an Eligible Organisation.

CIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their CI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

- E5.2.2 A CI must take responsibility for:
- a. the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant; and
 - b. the conduct of the Project, and any strategic decisions required in its pursuit and the communication of its results.
- E5.2.3 A CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.
- E5.2.4 A CI must normally reside predominantly in Australia for the life of the Project. A CI may seek approval from the Administering Organisation to undertake Field Research, or study leave, directly related to the Project. Such absences must not total more than half the Project funding period.
- E5.2.5 Researchers undertaking a higher degree by research are not eligible to be CIs. Researchers must have their higher degree by research conferred by the Commencement Date of the Project in order to be eligible.
- E5.2.6 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that the Project still includes at least one CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.
- E5.2.7 If a Proposal with a sole CI has been approved for funding and that CI is, at any time, no longer able to work as proposed on the Project, the Project must be terminated.

E5.3 Eligibility Criteria for Partner Investigators (PIs)

- E5.3.1 As at 1 January 2017 a researcher nominated as a PI on a Proposal must:
- a. not meet the eligibility criteria for CI; and
 - b. take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The PI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

PIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their PI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

- E5.3.2 A researcher who is an employee of an Eligible Organisation listed in A12 who does not reside predominantly in Australia may be a PI.

E6. Discovery Australian Aboriginal and Torres Strait Islander Award (DAATSIA)

E6.1 Eligibility Criteria for a Discovery Australian Aboriginal and Torres Strait Islander Award (DAATSIA)

E6.1.1 A DAATSIA Candidate must:

- a. be an Indigenous Australian researcher as defined in E2; and
- b. satisfy the eligibility criteria for a CI at E5.2.

E6.1.2 A DAATSIA candidate must demonstrate how the Project quality would be enhanced by a DAATSIA and detail the ways in which the additional research time would be utilised (for example, undertaking sustained Field Research, archival research or laboratory work).

E6.1.3 A researcher can only request one DAATSIA in a scheme round.

E6.1.4 A DAATSIA Candidate must hold an appointment at the Administering Organisation for the duration of the Award.

E6.2 Level and Period of Funding for a DAATSIA

E6.2.1 A DAATSIA can be applied for and awarded for one to five years, noting that as per subsection E4.1.2 the minimum level of funding of \$30,000 per year in project costs must also be requested in addition to the DAATSIA salary component in any funding year.

E6.2.2 A CI awarded a DAATSIA will not be awarded teaching relief.

E6.2.3 DAATSIA funding may be used for other purposes to support the Project in changed circumstances with the approval of the ARC, without extension to the life of the Project. The use of DAATSIA funding for other purposes does not confer an exemption from the rules in A6.2.

E6.2.4 DAATSIA funding may be requested at one of five salary levels (2015\$), which is either equivalent to or higher than the salary level of the CI as at the closing date for submission.

DAATSIA Funding Levels	Salary	On-costs 30%	Total
DAATSIA Level 1 (1.0 FTE)	\$75,160	\$22,548	\$97,708
DAATSIA Level 2 (1.0 FTE)	\$88,423	\$26,527	\$114,950
DAATSIA Level 3 (1.0 FTE)	\$114,951	\$34,485	\$149,436
DAATSIA Level 4 (1.0 FTE)	\$132,636	\$39,791	\$172,427
DAATSIA Level 5 (1.0 FTE)	\$159,162	\$47,749	\$206,911

E6.2.5 The Administering Organisation must ensure a CI awarded a DAATSIA has access to periods of up to 14 weeks paid maternity leave where such leave is taken during the course of the Award. The ARC will provide up to 14 weeks additional funding per period for this purpose, and the DAATSIA period will be extended for a period equivalent to the duration of paid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.

The Administering Organisation must ensure a CI awarded a DAATSIA is entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the partner/parent who is not identified as the primary caregiver during the duration of the Award. The ARC will provide up to two weeks additional funding for this purpose per period, and the DAATSIA period will be extended for a period equivalent to the duration of the paid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.

E6.3 Host Organisations

E6.3.1 A Proposal may identify no more than two Australian or international Host Organisations where a DAATSIA Candidate may, subject to the approval of the Administering Organisation, undertake research for up to twelve months in total over the life of the Project.

E6.3.2 The Proposal must describe:

- a. the extent of the collaboration between the DAATSIA Candidate and the Host Organisation(s); and
- b. how the Host Organisation(s) will provide a suitable Project Research Environment for the DAATSIA Candidate.



Australian Government

Australian Research Council

***Funding Rules for schemes under the
Linkage Programme (2015 edition)***

- ***Industrial Transformation Research Hubs commencing in 2015***
- ***Industrial Transformation Training Centres commencing in 2016***
- ***Linkage Projects commencing in 2016***
- ***Linkage Infrastructure, Equipment and Facilities commencing in 2017***

Australian Research Council Act 2001

I, Christopher Pyne, Minister for Education and Training, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Funding Rules under section 60 of that Act.

Dated 28 August 2015

Christopher Pyne
Minister for Education and Training

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Key Dates

Please refer to the Important Dates page on the ARC website at <http://www.arc.gov.au/important-dates> for key dates and updates relevant to these Funding Rules.

Contacts

Researchers should direct requests for information to the Research Office within their organisation.

ARC Contacts can be located on the ARC website at www.arc.gov.au.

Appeals must be addressed and sent:

by mail to:

The Appeals Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or by courier to:

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Canberra Airport
CANBERRA ACT 2609

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

Part A – General Rules for schemes under the Linkage Programme

A1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Funding Rules for schemes under the Linkage Programme (2015 edition)*

- *Industrial Transformation Research Hubs for funding commencing in 2015*
- *Industrial Transformation Training Centres for funding commencing in 2016*
- *Linkage Projects for funding commencing in 2016*
- *Linkage Infrastructure, Equipment and Facilities for funding commencing in 2017*

A2. Commencement

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

A3. Definitions

In these Funding Rules, unless the contrary intention appears:

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

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

Applicant means the Administering Organisation. Funding under the Linkage Programme is provided to Administering Organisations, not to individual researchers.

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

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

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

ARC College of Experts means a body of experts of international standing appointed to assist the ARC to identify research excellence, moderate external assessments and recommend fundable Proposals.

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

Bench fees means the fees that an organisation charges for an individual to use infrastructure which would normally be provided by the organisation for their employees. This infrastructure may vary and could include, for example, an office or a laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.

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

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

Commencement Date means the scheme specific date on which funding commences as defined in Parts B, C, D and E of these Funding Rules.

Commonwealth means the Commonwealth of Australia.

Commonwealth Fellowship means a position held by a researcher where the salary is funded wholly or partly by the Commonwealth and where the researcher in that position was a named participant in a Proposal.

Conflict of Interest means any Conflicts of Interest, any risk of a Conflicts of Interest and any apparent Conflicts of Interest arising through a party engaging in any activity, participating in any association, holding any membership or obtaining any interest that is likely to conflict with or restrict that party participating in the Project. The *ARC Conflict of Interest and Confidentiality Policy* is available on the ARC website at www.arc.gov.au.

Consultancy means the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s).

Eligible Organisation means an organisation listed in A17.

Emeritus Appointment means any Honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) in a Proposal. These positions are typically held by former academic staff members that continue to have an ongoing relationship with the institution. For ARC purposes this relationship should include access to research support comparable to employees, and would also normally include participation in postgraduate supervision. A person will not be considered to hold an Emeritus Appointment if they are in paid employment elsewhere.

Field Research means the collection of information integral to the Project outside a laboratory, library or workplace setting and often in a location external to the researcher's normal place of employment.

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

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

In-Kind Contribution means a contribution of goods, services, materials or time to the Project from an individual, business or organisation. Values should be calculated based on the most likely actual cost, for example current market, preferred provider or internal provider rates/valuations/rentals/charges (that is in the financial year of the date of the Proposal's submission) of the costs of labour, work spaces, equipment and databases. The calculations covering time and costs should be documented by the Administering Organisation. The ARC may require these calculations to be audited.

Instructions to Applicants means a set of instructions prepared by the ARC to assist Applicants in completing the application form and associated documentation.

Linkage Programme, for the purposes of eligibility, refers to the schemes funded under the Linkage Programme of the NCGP which consist of: *Linkage Projects; Linkage Infrastructure, Equipment and Facilities; Industrial Transformation Training Centres; Industrial Transformation Research Hubs*; and other schemes as updated from time to time.

Medical Research as defined in the *ARC Medical Research Policy* available on the ARC website at www.arc.gov.au.

Minister means the Minister from time to time responsible for the administration of the ARC Act.

NCGP means the ARC's *National Competitive Grants Programme*.

NHMRC means the National Health and Medical Research Council.

ORCID identifier means a persistent digital identifier for an individual researcher, available via the ORCID website at www.orcid.org.

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

Other Organisation means an organisation which is listed on a Proposal and is not an Eligible Organisation or a Partner Organisation.

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

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

PhD is a qualification that meets the level 10 criteria of the *Australian Qualifications Framework Second Edition January 2013*.

Project means a Proposal approved by the Minister to receive funding from the ARC.

Project Research Environment means the laboratory, department, school, centre or institute within the Administering Organisation or Partner Organisation where research will be undertaken, and which provides opportunities for knowledge growth, innovation, collaboration, mentoring and student training and support.

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

Research impact is the demonstrable contribution that research makes to the economy, society, culture, national security, public policy or services, health, the environment, or quality of life, beyond contributions to academia.

Research infrastructure means assets, facilities, services, and coordinated access to major national and/or international research facilities or consortia which directly support research in higher education organisations and more broadly and which maintain the capacity of researchers to undertake excellent research and deliver innovative outcomes.

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

RMS means the ARC's online Research Management System.

Selection Advisory Committee (SAC) means a group of experts appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the ARC.

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

Science and Research Priorities means priority research areas identified by the Australian Government, and available via the ARC website at www.arc.gov.au.

Technical workshop services means specialised construction and maintenance activities carried out by a technician, often within a dedicated facility for working with materials such as wood, glass, metal, plastics or electronics.

UA means Universities Australia.

Additional scheme-specific definitions are detailed in Parts B, C, D and E of these Funding Rules.

A4. Introduction

A4.1 Overview

A4.1.1 These Funding Rules are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force then.

A4.1.2 These Funding Rules relate to schemes funded under the Linkage Programme of the ARC's *National Competitive Grants Programme*. The

Linkage Programme supports the growth of research partnerships between university-based researchers and researchers in other sectors in Australia and overseas that generate new knowledge, technologies and innovations.

The objectives of the Linkage Programme are to deliver outcomes of benefit to Australia and build Australia's research and innovation capacity through support for:

- a. collaborative research between university-based researchers and researchers in other sectors;
- b. research training and career opportunities that enable Australian and international researchers and research students to work with industry and other end-users; and
- c. research in priority areas.

- A4.1.3 The Linkage Programme schemes provide funding to Administering Organisations to support research Projects.
- A4.1.4 Linkage Programme funding will be awarded on the basis of excellence through a competitive peer review process for each scheme.
- A4.1.5 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the NCGP.
- A4.1.6 The Key Performance Indicators (KPIs) for the Linkage Programme are specified each year in the ARC Portfolio Budget Statements and the ARC Corporate Plan. The KPIs focus on long-term outcomes as well as medium-term outcomes relating to building Australia's research capacity, for example, research careers and training, contributions in areas of national need and research collaboration. These are addressed each year in the ARC's annual report.
- A4.1.7 For details of scheme-specific overviews refer to Parts B, C, D and E.

A4.2 Research/Activities Supported

- A4.2.1 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.
- A4.2.2 This definition of research is consistent with a broad notion of research and experimental development comprising "creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man [humankind], culture and society, and the use of this stock of knowledge to devise new applications"¹.

A5. Research/Activities Not Supported

- A5.1.1 Except where such activities meet the definition of research in subsection A4.2.1 the *Industrial Transformation Training Centres, Industrial*

¹ OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, Paris (Page 30).

Transformation Research Hubs and *Linkage Projects* schemes do not support production of:

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

A5.1.2 Except where such activities meet the definition of research in subsection A4.2.1, the *Linkage Infrastructure, Equipment and Facilities* scheme does not support research infrastructure for production of teaching materials.

A5.1.3 The Linkage Programme does not support Medical Research, as defined in section A3 of these Funding Rules.

A5.1.4 Notwithstanding A5.1.3, if the Industrial Transformation Priorities include a medical research-related priority, *Industrial Transformation Research Hubs* and *Industrial Transformation Training Centres* proposals addressing the priority may be submitted, having regard to the objectives of the relevant scheme.

A5.1.5 The *Industrial Transformation Training Centres*, *Industrial Transformation Research Hubs* and *Linkage Projects* schemes do not support Projects where one or more Partner Organisation(s) is seeking expert external assistance, not available within their own organisation, in order to develop specific applications or outputs which:

- a. involve little innovation or are low risk; or
- b. the ARC deems to be essentially contracted research or a Consultancy arrangement.

A6. Funding

A6.1 Level and Period of Funding

A6.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.

A6.1.2 The level and period of funding, as well as details on supported budget items for each of the schemes under the Linkage Programme, are outlined in each scheme-specific Part of these Funding Rules.

A6.1.3 The ARC reserves the right to recommend funding levels which may be less than those requested in the Proposal, and a duration of ARC funding which may differ from that requested in the Proposal.

A6.1.4 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.

A6.1.5 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

A7. Budget Items Supported

A7.1.1 Under the *Industrial Transformation Training Centres*, *Industrial Transformation Research Hubs* and *Linkage Projects* schemes, budget items that directly support a research project may be funded, including:

- a. access to national and international research and infrastructure facilities including specialist archives, collections and databases;

- b. access to Technical Workshop Services linked to and justified explicitly against the Project (for example, machine tools and qualified technicians);
- c. expenditure on Field Research essential to the Project, including technical and logistical support, and travel and accommodation costs, for CIs, PIs, Higher Degree by Research candidates, postdoctoral fellows and research support personnel;
- d. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:
 - i. language translation services, transcribing services;
 - ii. purchase of bibliographical or archival material (electronic or hard copy); and
 - iii. data collection and analysis services;
- e. equipment (and its maintenance) and consumables required for the Project. Funding will not be provided for equipment or consumables that are deemed to be for broad general use;
- f. publication and dissemination of Project outputs and outreach activity costs;
- g. specialised computer equipment and software essential to the Project;
- h. travel costs essential to the Project, including economy travel costs for domestic and/or international travel and accommodation, not exceeding an average of \$20,000 per year of the project. Funding is permitted for CIs, PIs, Higher Degree by Research candidates, postdoctoral fellows and research support personnel. Travel costs related to carrying out Field Research are supported separately under A7.1.1.c and are not counted towards the average of \$20,000 per year limit detailed in this subsection A7.1.1.h;
- i. web hosting and web development specific to the Project; and
- j. workshops, focus groups and conferences that are necessary for the conduct of the proposed research (including reasonable hospitality costs such as morning tea, lunch and afternoon tea).

A7.1.2 All budget items must be justified in the Proposal to the satisfaction of the ARC and the assessors involved in the peer review process.

A7.1.3 For all other scheme-specific budget items supported, refer to Parts B, C, D and E of these Funding Rules.

A8. Budget Items Not Supported

A8.1.1 Budget items which will not be supported by ARC funding and should not be requested in the budget include:

- a. bench fees or similar laboratory access fees;
- b. capital works and general infrastructure costs (except for as permitted under the LIEF scheme in section E7);
- c. costs not directly related to research or the Project, including but not limited to professional membership fees (except for as permitted under the LIEF scheme in section E7), professional development courses,

fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, costs of dependents, entertainment costs, hospitality costs, insurance, and other indirect costs;

- d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and
- e. salaries and/or on costs, in whole or in part, for CIs or PIs.

A8.1.2 The following basic facilities must be provided and funded by the Administering Organisation, where relevant, and will not be funded by the ARC:

- a. access to a basic library collection;
- b. access to film or music editing facilities;
- c. accommodation (for example, laboratory and office space, suitably equipped and furnished);
- d. provision of basic computer facilities and standard software; and
- e. standard reference materials or funds for abstracting services.

A8.1.3 For all other scheme-specific budget items not supported, refer to Part E of these Funding Rules.

A8.1.4 The Administering Organisation must ensure that any organisational In-kind Contributions in the budget section of the Proposal do not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.

A9. Organisation General Eligibility Requirements

A9.1 Eligible Organisations

A9.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation listed at Section A17.

A9.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations. A Proposal may only be submitted once in the same funding scheme round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

A9.1.3 The Administering Organisation and each Other Eligible Organisation on the Proposal must demonstrate a significant contribution of cash and/or in kind resources to the Project, having regard to the total cost of the Project and the relative contribution of any CI(s) at the organisation.

A9.1.4 For additional scheme-specific Eligible Organisation eligibility requirements refer to Parts C and E of these Funding Rules.

A9.2 Partner Organisations

A9.2.1 To be eligible as a Partner Organisation, an organisation **cannot be:**

- a. an Eligible Organisation;
- b. a controlled entity of any Eligible Organisation; or

- c. an entity (for example a joint venture) where more than 50 per cent is owned by one or more Eligible Organisations.
- A9.2.2 For each Partner Organisation, three conditions must be met. There must be:
- a. evidence of new or on-going collaboration between the Partner Organisation either directly with the Administering Organisation, and /or with an Other Eligible Organisation on the Proposal;
 - b. no duplication of Commonwealth funding for the research and/or activities funded for the Project; and
 - c. a contribution of cash and/or in-kind or other material resources from each Partner Organisation, having regard to the total cost of the Project and specific scheme requirements.
- A9.2.3 A Proposal should include details of the collaborative arrangements proposed, including how each Partner Organisation is involved in the Project, and a Proposal submitted under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes should also detail how the Project fits into each Partner Organisation's overall strategic plan and how the Project is of value to each of the Partner Organisation(s) involved.
- A9.2.4 A Proposal submitted in RMS under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes must include a letter of support from each Partner Organisation. Each Partner Organisation's letter of support must:
- a. include the official letterhead;
 - b. be no more than two A4 pages;
 - c. include a brief profile of the organisation (for *Industrial Transformation Research Hubs*, this must include the number of employees within the organisation);
 - d. provide details of the Cash and/or In-kind Contributions;
 - e. demonstrate the source of its Cash Contribution (if a Cash Contribution is being made);
 - f. certify that no part of its Cash Contribution is drawn from funds previously appropriated or awarded from Commonwealth or Australian State or Territory sources for the purposes of research;
 - g. state its expectations about industry outcomes/products and market value (including, where appropriate, for the *Linkage Projects* scheme);
 - h. provide details regarding how the Project aligns with the Partner Organisation's objectives;
 - i. certify that it will meet the requirements outlined in a standard Funding Agreement, including the requirement to enter into arrangements regarding intellectual property which do not unreasonably delay academic outputs; and
 - j. be signed by the Chief Executive Officer, or delegate.
- A9.2.5 Partner Organisations named on a Proposal must participate for the duration of the Project unless otherwise approved by the ARC.

- A9.2.6 Cash and in-kind contributions from Partner Organisation(s), must be specific to the Project and must not be part of a broader contribution to an Administering Organisation and should be listed in the ensuing contractual agreement.
- A9.2.7 The Proposal cannot include cash or in-kind contributions in years beyond the duration of the Project.
- A9.2.8 Under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes, Partner Organisation Cash Contributions cannot be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory for the purposes of research nor from funds previously used to leverage government research or research infrastructure funding.
- A9.2.9 Under the *Linkage Infrastructure, Equipment and Facilities* scheme, Partner Organisation Cash Contributions cannot be sourced from funds awarded or appropriated by the Commonwealth or an Australian State or Territory for the purposes of the same research infrastructure as the Proposal, nor from funds previously used to leverage government research or research infrastructure funding.
- A9.2.10 The Partner Organisation Cash Contribution must not be a contribution to salaries for CIs and PIs on the Project.
- A9.2.11 In-kind contributions must be essential and central to the Project. It is the responsibility of the Administering Organisation to establish the merit of the case for recognition of In-kind Contributions.
- A9.2.12 The ARC reserves the right to determine the value of Partner Organisation contributions and may determine contributions to be at levels that may differ from those submitted in a Proposal.
- A9.2.13 A Partner Organisation contribution must be specified in Australian dollars and, subject to these Funding Rules, contributed at the specified level regardless of currency fluctuations.
- A9.2.14 For additional scheme-specific Partner Organisation requirements refer to Parts B, C and D of these Funding Rules.

A9.3 Other Organisations

- A9.3.1 Organisations that are not Eligible Organisations and not Partner Organisations but that are listed on a Proposal will be Other Organisations.

A10. Participant General Eligibility Requirements

A10.1 Eligibility Criteria for Participants

- A10.1.1 All named participants nominated in a Proposal must satisfy the eligibility criteria for the role they are to perform as at the scheme-specific commencement date and for the duration of the Project.
- A10.1.2 If the ARC considers that a participant nominated in a Proposal does not meet the eligibility criteria for the role that participant is to perform, the Proposal may be deemed ineligible.
- A10.1.3 All named participants nominated in a Proposal must take responsibility for the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant.

A10.1.4 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the named participants nominated on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

A10.2 Eligibility Criteria for Chief Investigators (CIs)

A10.2.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at the scheme-specific Commencement Date and for the duration of the Project:

- a. be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or
- b. be a holder of an **Emeritus Appointment** (as defined at section A3) at an Eligible Organisation.

CIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their CI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

A10.2.2 A CI must take significant intellectual responsibility for the conception and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. A CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

A10.2.3 A CI must have the experience and capacity to provide effective supervision, support and mentoring of research personnel, including Higher Degree by Research candidates and postdoctoral fellows, associated with the Project.

A10.2.4 A CI must normally reside predominantly in Australia for the full life of the Project. Any significant absences including fieldwork or study leave directly related to the Project must have approval from the Administering Organisation and must not total more than half the Project funding period.

A10.2.5 Researchers undertaking a Higher Degree by Research are not eligible to be CIs. Researchers must have their Higher Degree by Research conferred by the Commencement Date of the Project in order to be eligible.

A10.2.6 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that any replacement CI meets the CI eligibility criteria and is approved by the ARC.

A10.3 Eligibility Criteria for Partner Investigators (PIs)

A10.3.1 A participant nominated as a PI on a Proposal **must not** meet the eligibility criteria for a CI.

A10.3.2 A participant who is an employee of an Eligible Organisation listed at section A17 who does not reside predominantly in Australia may be a PI.

A10.3.3 A PI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

A10.3.4 Under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes a PI **must**:

- a. take significant intellectual responsibility for the planning and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results; and/or
 - b. have the experience and capacity to provide effective supervision, support and mentoring of research personnel associated with the Project in their areas of expertise; and/or
 - c. have demonstrated the relevant skills and experience to effectively manage a similar scale research Project.
- A10.3.5 Under the *Linkage Infrastructure, Equipment and Facilities* scheme a PI must take significant intellectual responsibility for the conception and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results.
- A10.3.6 PIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their PI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.
- A10.3.7 If a Proposal has been approved for funding and a PI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided any replacement PI is approved by the ARC and meets the PI eligibility criteria.

A11. Eligibility process

- A11.1.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.
- A11.1.2 A decision under subsection A11.1.1 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.

A12. Submission of Proposals

A12.1 Proposals

- A12.1.1 The Proposal must be submitted as a mature research plan presenting the proposed Project ready for implementation and must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.
- A12.1.2 All details in the Proposal must be current at the time of submission.
- A12.1.3 A Proposal may only be submitted once in the same funding round regardless of any variation in the proposed research, the listed participants and/or Administering Organisation.
- A12.1.4 Applicants should note the eligibility criteria for access to other funding schemes, as expressed in the Funding Rules for those schemes. The ARC reserves the right to change these criteria in future funding rounds. Funding Rules for all ARC schemes may be found on the ARC website at www.arc.gov.au.
- A12.1.5 Under the *Industrial Transformation Training Centres, Industrial Transformation Research Hubs* and *Linkage Projects* schemes, the Proposal must list all current funding and requested funding for the named

participants under any ARC scheme, including Projects, Awards and Fellowships, or any other Commonwealth funding scheme.

A12.1.6 For additional scheme-specific requirements, including Proposal limits, refer to Parts B, C, D and E of these Funding Rules.

A12.1.7 Applicants who are applying for another ARC funding scheme (not covered by these Funding Rules) should consult the funding rules for the other scheme to determine if applying for or holding a Project under these Funding Rules will affect their eligibility for the other ARC funding scheme.

A12.2 Submission of Proposals in RMS

A12.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.

A12.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS online form and the relevant scheme Instructions to Applicants.

A12.3 Closing Time for Proposals

A12.3.1 The online form completed within RMS must be submitted by the relevant scheme closing date and time on the Important Dates page on the ARC website at www.arc.gov.au.

A12.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

A12.3.3 Upon receipt of a written request with justification from the Administering Organisation the ARC may approve the withdrawal of a Proposal. The ARC will only approve such a request in exceptional circumstances.

A12.4 Certification in RMS

A12.4.1 The Administering Organisation must certify a Proposal online in RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals.

A12.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

A12.5 Conflict of Interest

A12.5.1 Each participant or organisation named in a Proposal must declare to the Administering Organisation at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.

A12.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007), the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.

A12.5.3 As part of the certification at A12.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A12.5.1, and that any Conflict of Interest will be managed in accordance with A12.5.2.

A13. Selection and Approval Process

A13.1 Assessment and Selection Process

- A13.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.
- A13.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.
- A13.1.3 All Proposals may be:
- a. assigned to independent assessors, from a range of organisations, who will assess and report, which may include written comments, on the Proposal against the selection criteria; and
 - b. ranked and recommended a budget, relative to other Proposals, by the ARC College of Experts or a SAC, on the basis of the Proposal, any assessors' reports and any rejoinder.
- A13.1.4 The ARC may cease the progression of Proposals at any time during the selection process. Grounds for cessation include, but are not limited to:
- a. not meeting the eligibility requirements set out in these Funding Rules; or
 - b. providing incomplete, inaccurate or misleading information.
- A13.1.5 Following the recommendations of the ARC College of Experts or a SAC, the CEO will make recommendations to the Minister in relation to which Proposals should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.
- A13.1.6 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the ARC College of Experts or SAC, members of other ARC Committees and ARC staff. Details of these procedures are available on the ARC website at www.arc.gov.au.
- A13.1.7 For all other scheme-specific requirements relating to the assessment and selection process, refer to Part B of these Funding Rules.

A13.2 Rejoinder

- A13.2.1 The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation or to Proposal participants.

A13.3 Request Not to Assess

- A13.3.1 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a 'Request Not to Assess' form as detailed on the ARC website at www.arc.gov.au. This form must be received by the ARC by the relevant scheme closing date and time available on the Important Dates page on the ARC website at www.arc.gov.au.

While the ARC may accommodate such requests, only one request may be submitted per Proposal and any request containing more than three individual assessors to be excluded for a Proposal must be directly supported in writing by the Deputy Vice-Chancellor (Research) or equivalent of the Administering Organisation with evidence justifying the exclusion of all assessors requested.

A13.4 Recommendations and Offer of Funding

- A13.4.1 In accordance with the ARC Act, the ARC CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.
- A13.4.2 Under the ARC Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.
- A13.4.3 All Administering Organisations will be notified of the outcomes of their Proposals (including Proposals not recommended for funding). Outcomes, funding allocations and other relevant information about the successful Proposals will be published on the ARC website at www.arc.gov.au.
- A13.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.
- A13.4.5 The ARC may vary the funding approval if, in the opinion of the ARC, the particular circumstances of the Project warrant variation. Any variation or change will accord with the relevant Funding Rules and Funding Agreement.
- A13.4.6 If the ARC funding approved for a Project varies from the amount requested, pro rata adjustments may be made to the Partner Organisation contributions.

A14. Appeals Process

- A14.1.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the Proposal has been treated fairly and consistently in the context of selection procedures.
- A14.1.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome. Appellants must identify the specific Funding Rule clause, policy or procedure which they believe has been incorrectly applied.
- A14.1.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at www.arc.gov.au, authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm (AEDT/AEST) on the appeals submission due date.
- A14.1.4 Appeals must be sent to the Appeals address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy Appeal submissions.
- A14.1.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options. Regarding available options for external appeal, the Administrative Appeals Tribunal does not have general power to review ARC decisions.

A15. Reporting Requirements

Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au. For additional scheme-specific reporting requirements, refer to Parts D and E of these Funding Rules.

A15.1 Progress Reports

- A15.1.1 When required, Progress Reports must be submitted by 31 March in the year following each calendar year for which the funding was awarded as directed by the ARC.
- A15.1.2 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding monies will be recovered by the ARC.
- A15.1.3 For all other scheme-specific reporting requirements relating to Progress Reports, refer to Parts B, C, D and E of these Funding Rules.

A15.2 End of Year Reports

- A15.2.1 The Administering Organisation must submit an End of Year Report by 31 March in the year following each calendar year for which the funding was awarded, in accordance with the instructions to be provided by the ARC each year.

A15.3 Final Report

- A15.3.1 A Final Report must be submitted for the Project within twelve months of the final payment or within twelve months of the final approved carryover of funds.
- A15.3.2 The Final Report must address compliance with the *ARC Open Access Policy* as detailed at A16.5.
- A15.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants on the Project.
- A15.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.
- A15.3.5 For all other scheme-specific reporting requirements relating to Final Reports, refer to Part E of these Funding Rules.

A16. Fundamental Principles of Conducting Research

A16.1 Ethics and Research Practices

- A16.1.1 All Proposals and ARC-funded research projects must conform to the principles outlined in the following and their successor documents. Links to these documents are available on the ARC website at www.arc.gov.au:
- a. NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007);
 - b. as applicable, the NHMRC/ARC/UA *National Statement on Ethical Conduct in Human Research* (2007, updated 2015);
 - c. as applicable, NHMRC *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003);

- d. as applicable, Australian Institute of Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Australian Indigenous Studies* (2012);
- e. as applicable, *Australia Council for the Arts Indigenous Cultural Protocols for Producing Indigenous Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007); and
- f. as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013) endorsed by the NHMRC, the ARC, the Commonwealth Scientific and Industrial Research Organisation and UA.

A16.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

A16.2 Applicable Law

A16.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988*, *Freedom of Information Act 1982* and the *Criminal Code Act 1995*.

A16.3 Confidentiality

A16.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:

- a. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties in order to assess, evaluate or verify the quality, accuracy or completeness of a Proposal;
- b. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties solely to comply with obligations or exercise rights under the *ARC Research Integrity and Research Misconduct Policy*;
- c. disclosed by ARC personnel to third parties to enable effective management or auditing of the Linkage Programme schemes or any Funding Agreement;
- d. disclosed by the ARC to the relevant Minister(s) and their staff;
- e. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
- f. authorised or required by law to be disclosed;
- g. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
- h. in the public domain.

A16.3.2 Where information contained in a Proposal is made available to third parties for evaluation, assessment or audit purposes the ARC will require the third parties to maintain the confidentiality of the material, including any intellectual property contained in the Proposal.

A16.3.3 In addition to the exemptions listed at A16.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project: the name of the Administering Organisation and any other parties involved in or associated with the Project; named participants and their organisations; the proposed research programme (the

title and summary descriptions of the Project); infrastructure, equipment and/or facilities funded; classifications and international collaboration country names; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Proposal title and summary descriptions would not, if released, compromise their own requirements for confidentiality (such as protection of intellectual property).

- A16.3.4 In making public information about a Proposal which has been approved for funding, the ARC may use a Project description, including title and summary, which may differ from that provided in the Proposal.

A16.4 Intellectual Property

- A16.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from a Project.
- A16.4.2 The Administering Organisation must adhere to an intellectual property policy, approved by the Administering Organisation's governing body, which has as one of its aims the maximisation of benefits to Australia arising from research. The Administering Organisation should ensure that applicants for ARC funding are familiar with the current intellectual property landscape for the proposal. Unless otherwise approved by the Commonwealth, the Administering Organisation's intellectual property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* and/or any successor document/s. These document/s are available on the ARC website at www.arc.gov.au.

A16.5 Publication and Dissemination of Research Outputs

- A16.5.1 All ARC-funded research projects must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is available at www.arc.gov.au. In accordance with this policy, any publications arising from a Project must be deposited into an open access institutional repository within a twelve month period from the date of publication. When depositing publications in an institutional repository the ARC Project ID should be included in the metadata.
- A16.5.2 Researchers and institutions have an obligation to care for and maintain research data in accordance with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007). The ARC considers data management planning an important part of the responsible conduct of research and strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository.
- A16.5.3 The ARC encourages all researchers applying for funding to have an ORCID identifier.

A16.6 Misconduct, Incomplete or Misleading Information

- A16.6.1 All ARC-funded research projects must comply with the *ARC Research Integrity and Research Misconduct Policy*, which is available at www.arc.gov.au.
- A16.6.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, or involves misconduct, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

- A16.6.3 A decision under subsection A16.6.2 may be made by the ARC at any stage during the assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.
- A16.6.4 Examples of misleading information and misconduct include:
- a. providing fictitious research opportunity and performance evidence;
 - b. plagiarism;
 - c. making false claims in relation to the authorship of the Proposal;
 - d. failing to make acknowledgement of intellectual, design or other significant contributions to the Proposal;
 - e. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
 - f. making false claims in relation to qualifications and/or appointments;
 - g. making false certifications; or
 - h. failing to disclose to the Administering Organisation the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

A17. Eligible Organisations

A17.1 Higher Education Organisations

Australian Capital Territory

The Australian National University
University of Canberra

New South Wales

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

Northern Territory

Batchelor Institute of Indigenous Tertiary Education
Charles Darwin University

Queensland

Bond University
Central Queensland University
Griffith University
James Cook University
Queensland University of Technology

The University of Queensland
University of the Sunshine Coast
University of Southern Queensland

South Australia

The Flinders University of South Australia
The University of Adelaide
Torrens University Australia
University of South Australia

Tasmania

University of Tasmania

Victoria

Deakin University
Federation University Australia
La Trobe University
Monash University
Royal Melbourne Institute of Technology (RMIT University)
Swinburne University of Technology
The University of Melbourne
University of Divinity
Victoria University

Western Australia

Curtin University of Technology
Edith Cowan University
Murdoch University
The University of Notre Dame Australia
The University of Western Australia

A17.2 Additional Eligible Organisations

Australian Institute of Aboriginal and Torres Strait Islander Studies
(AIATSIS)

Additional Eligible Organisations may be specified on a scheme by
scheme basis.

Part B – Scheme-specific rules for *Industrial Transformation Research Hubs* for funding commencing in 2015

B1. Interpretation

- B1.1 Part B contains the scheme-specific rules for *Industrial Transformation Research Hubs* for funding commencing in 2015.
- B1.2 Funding for approved Projects for *Industrial Transformation Research Hubs* for funding commencing in 2015 will commence with effect from 1 July 2015.

B2. Additional Definitions for Part B

For the purposes of this Part:

- B2.1 **Hub Director** means a researcher who satisfies the eligibility criteria for a Hub Director under these Funding Rules.
- B2.3 **Hub Manager** means a person with relevant skills and experience who is able to manage and facilitate the day-to-day operation of the Hub.
- B2.4 **Industry Advisory Panel (IAP)** means a group of experts drawn from both academia and industry and appointed to assist the ARC to identify and to evaluate excellence in industry-relevant research.
- B2.5 **Industry Growth Centre** means The Industry Growth Centres Initiative as described under www.business.gov.au as the centrepiece of the Government's new industry policy direction and part of the Industry Innovation and Competitiveness Agenda. These Growth Centres have been established to deliver the Initiatives in high-growth sectors within the Industry and Science Portfolio.
- B2.6 **Industrial Transformation Priorities** means targeted research areas identified by the ARC and updated from time-to-time on the ARC website at www.arc.gov.au.
- B2.7 **ITRH** means the *Industrial Transformation Research Hubs* scheme.
- B2.8 **ITTC** means the *Industrial Transformation Training Centres* scheme.
- B2.9 **Key Performance Indicators (KPIs)** means a set of quantifiable measures that an ARC Research Hub uses to monitor and report on progress of research outcomes.

B3. Overview

- B3.1. The *Industrial Transformation Research Hubs* scheme will provide funding to Eligible Organisations to engage in cutting edge research on new technologies and economic, commercial and social transformation and support the development of research in the Industrial Transformation Priorities. Research Hubs will engage Australia's best researchers in issues facing the new industrial economies and training the future workforce. The scheme supports collaborative research activity between the Australian higher education sector and industry, designed to focus on strategic outcomes not independently realisable.

B4. Objectives

B4.1 The objectives of the *Industrial Transformation Research Hubs* scheme are to:

- a. encourage collaborative R&D projects between universities and organisations outside the Australian higher education sector that will solve challenging industry issues relevant to the Industrial Transformation Priorities
- b. drive growth, productivity and competitiveness to within key growth sectors
- c. leverage national and international investment in targeted industry sectors, including from industry and other research end-users.

B5. Selection Criteria

B5.1 All Proposals that meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:

- a. Proposed Project
(30%)
 - Does the research clearly address one or more of the Industrial Transformation Priorities?
 - Will the aims, concepts, methods and outcomes drive growth, productivity and competitiveness within key growth sectors?
 - Does the method, approach and intended benefits proposed address the objectives of the *Industrial Transformation Research Hubs* scheme?
 - Does the Project draw together high quality innovative national and international partnership(s) into an integrated Hub?
 - Is the conceptual/theoretical framework, genuinely integrated, broad, cross-disciplinary, innovative and original?
- b. Feasibility and Benefit
(30%)
 - Does the Research Hub demonstrate meaningful engagement with the relevant Industry Growth Centre(s)?
 - Are there adequate strategies to encourage dissemination, promotion, and the commercialisation of research outcomes?
 - Is there a clearly identified market opportunity and benefit to Australian industry?
 - Is the design of the Project and the expertise of the participants sufficient to ensure the Project can be completed within the proposed budget and timeframe? This should include identified risks and mitigation strategies?
 - Does the Project have a wide level of collaboration, including the development of national and international networks and linkages?
 - Does the Project Research Environment provide high-quality intellectual support for the Project?

- Will the Project build research capacity in the Partner Organisation(s)?
- Are the necessary facilities to complete the Project available?
- Does the Research Hub represent value for money?
- c. Capacity and Commitment from Partner Organisation(s)
(20%)
 - Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the Project?
 - Is there evidence that the Partner Organisation(s) have the capacity to support the Project?
 - Is the budget justification of the Cash and In-kind Contributions adequate?
- d. Investigator(s)
(20%)
 - Is this the best team to achieve the project goals?
 - Does the team demonstrate suitable Research opportunity and performance evidence (ROPE)?
 - Do the leadership and team have suitable experience in management of collaborative industrial and end-user focussed research?
 - Does the team have the time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s)?

B6. Funding

B6.1 Level and Period of Funding

- B6.1.1 The minimum level of funding provided by the ARC under *Industrial Transformation Research Hubs* is \$500,000 per year and the maximum is \$1 million per year of funding per Project, for each year of the Project.
- B6.1.2 A Project may be applied for and awarded funding for a minimum of three years and a maximum of five consecutive years, subject to sufficient funding being available for the *Industrial Transformation Research Hubs* scheme, the provisions of the ARC Act, and continued satisfactory progress of the Research Hub.
- B6.1.3 Funding for approved Projects will commence effective as specified at B1.2. Funding for approved Projects will commence after Ministerial announcement or other arrangements that are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act, and continued satisfactory progress of the Project.

B7. Budget Items Supported

- B7.1 In addition to budget items supported at A7.1.1, budget items that directly support a research Project may be funded, including:
- a. personnel:

- i. salary support for a Hub Manager, research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 30 per cent on-costs, for the Administering Organisation; and
 - ii. stipends for Higher Degree by Research (HDR) candidates enrolled at an Eligible Organisation, at \$31,298 (2015\$, 1.0 FTE) per year.
- b. teaching relief for CIs up to a total value of \$50,000 per year where it is demonstrated that it will enhance engagement with the Partner Organisation(s).

B8. Organisational Types, Roles and Eligibility

B8.1 Partner Organisations General Requirements

B8.1.1 A Proposal must include at least one Australian Partner Organisation.

B8.2 Partner Organisation Contribution Requirements

B8.2.1 The Proposal must demonstrate that the **combined** Partner Organisation(s) contributions (i.e. the total of the cash and in-kind contributions of the Partner Organisations) must at least match the total funding requested from the ARC.

B8.2.2 Pursuant to subsection B6.1.1, a Proposal may seek a minimum of \$500,000 and up to \$1 million per year from the ARC.

B8.2.3 The **combined** Partner Organisation(s) Cash Contribution where any Partner Organisation has more than 100 employees must be at least 75 per cent of the total funding requested from the ARC. Where the Partner Organisation or the largest Partner Organisation in a consortium in the proposal has 100 employees or less, there is no minimum combined Partner Organisation(s) Cash Contribution.

B8.2.4 There is no upper limit on the **combined** Partner Organisation(s) In-kind Contributions.

B8.3 Additional Eligible Organisations

B8.3.1 In addition to the organisations listed in section A17, National ICT Australia is an Eligible Organisation for *Industrial Transformation Research Hubs* for funding commencing in 2015.

B9. Roles and Eligibility for Participants

B9.1 Participant Roles and General Eligibility

B9.1.1 Roles that may be nominated in a Proposal are:

- a. Hub Director;
- b. Chief Investigator (CI); or
- c. Partner Investigator (PI).

B9.1.2 The following roles must be nominated in a Proposal:

- a. at least two CIs from the Adminstrating Organisation, where one will be the Hub Director;

- b. at least one CI from each Eligible Organisation; and
- c. at least one PI from each Partner Organisation.

B9.2 Eligibility Criteria for a Hub Director

- B9.2.1 The Hub Director must meet all the eligibility criteria for a CI and must be employed by the Administering Organisation at the commencement of the Project and for the duration of the Project.
- B9.2.2 The Hub Director is expected to have a minimum time commitment of 0.5 FTE on the activities of the Hub. If a Hub Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.
- B9.2.3 The Hub Director will be responsible for developing and implementing the strategies and managing the research Project in cooperation with the Hub Manager (where a Manager is appointed on the Project). The Hub Director must coordinate the research effort and reporting structures across the Eligible Organisation(s) and Partner Organisation(s).
- B9.2.4 The Hub Director is expected to demonstrate that they have the time and capacity to engage effectively in the activities of the Project. If a Hub Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.
- B9.2.5 If a Proposal has been approved for funding and the Hub Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Hub Director provided that:
- a. prior approval is obtained from the ARC for the change in Hub Director;
 - b. a replacement Hub Director meets the eligibility criteria for a Hub Director and those for a CI at the time of her/his nomination and for the full term of her/his participation in the Project, and the reasons for replacement justified to the satisfaction of the ARC; and
 - c. the Administering Organisation has obtained approval from all participating organisations for the change in Hub Director.

B10. Proposals

B10.1 Number of Proposals and Cross-Scheme Eligibility

- B10.1.1 A CI may only submit and/or be funded concurrently for a maximum of two Projects and/or Proposals from the *Industrial Transformation Research Hubs* and *Industrial Transformation Training Centres* schemes either separately or combined. A CI may only hold the role of Hub Director, Training Centre Director or Director of an ARC Centre for one Project or Proposal at a time.
- B10.1.2 A CI or Hub Director cannot be involved in more than the maximum number of *Industrial Transformation Research Hubs/Industrial Transformation Training Centres* Projects permitted. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding and the number of Proposals submitted for funding. A Project is considered to be funded for the years set out in the Funding Agreement.

B10.2 Proposal Eligibility and Duplication

B10.2.1 A Proposal may only be submitted where the research addresses one or more of the Industrial Transformation Priorities for the current round.

B11. Assessment and Selection Process

B11.1 In addition to the assessment process at A13, *Industrial Transformation Research Hubs* Proposals may be subject to additional assessment, including:

- a. short-listing within the group of *Industrial Transformation Research Hubs* Proposals; and
- b. interviews with the proposed Hub Director and key participants in a format determined by the ARC. The ARC will not fund interviewee participation in interviews.

B12. Reporting Requirements

B12.1 Key Performance Indicators

B12.1.1 The Administering Organisation will be required to submit KPIs for each Research Hub approved by the ARC.

B12.1.2 The KPIs for each Research Hub must include targets for each year of funding against standard KPIs as well as project-specific KPIs and targets for each year of funding. The ARC will provide the Administering Organisation with a form and instructions for this report.

B12.1.3 The Administering Organisation must report against the agreed KPIs annually in Progress Reports.

B12.2 Progress Reports

B12.2.1 The Administering Organisation must submit an annual Progress Report to the ARC for each Research Hub in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au.

B12.3 Performance Reviews

B12.3.1 Ad hoc reviews of Research Hubs, which may inform satisfactory progress according to B6.1.2, may be held at any time. A review will be triggered in special circumstances including, but not limited to:

- a. a change of Hub Director; or
- b. proposed transfer of the Research Hub to a new Administering Organisation.

B12.3.2 Outcomes and feedback arising from the performance reviews as outlined above may inform future evaluations of the *Industrial Transformation Research Hubs* scheme.

Part C – Scheme-specific rules for *Industrial Transformation Training Centres* for funding commencing in 2016

C1. Interpretation

- C1.1 Part C contains the scheme-specific rules for *Industrial Transformation Training Centres* for funding commencing in 2016.
- C1.2 Funding for approved Projects for *Industrial Transformation Training Centres* for funding commencing in 2016 will commence with effect from 1 January 2016.

C2. Additional Definitions for Part C

For the purposes of this Part:

- C2.1 **ICHDR** means an HDR candidate funded by the ARC through the Administering Organisation, who meets the ICHDR candidate eligibility criteria under these Funding Rules, and who will be employed on the ITTC Project.
- C2.2 **ICPD** means a postdoctoral fellow funded by the ARC through the Administering Organisation, who meets the ICPD candidate eligibility criteria under these Funding Rules, and who will be employed on the ITTC Project.
- C2.3 **Industry Advisory Panel (IAP)** means a group of experts drawn from both academia and industry and appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the ARC.
- C2.4 **Industry Growth Centre** means The Industry Growth Centres Initiative as described under www.business.gov.au as the centrepiece of the Government's new industry policy direction and part of the Industry Innovation and Competitiveness Agenda. These Growth Centres have been established to deliver the Initiatives in high-growth sectors within the Industry and Science Portfolio.
- C2.5 **Industrial Transformation Priorities** means targeted research areas identified by the ARC and updated from time-to-time on the ARC website at www.arc.gov.au.
- C2.6 **ITRH** means the *Industrial Transformation Research Hubs* scheme.
- C2.7 **ITTC** means the *Industrial Transformation Training Centres* scheme.
- C2.8 **Key Performance Indicators (KPIs)** means a set of quantifiable measures that an ARC Training Centre uses to monitor and report on progress of research outputs and outcomes.
- C2.9 **Training Centre Director** means a researcher who satisfies the eligibility criteria for a Training Centre Director under these Funding Rules.
- C2.10 **Training Centre Manager** means a person with relevant skills and experience who is able to manage and facilitate the day-to-day operation of the Centre.

C3. Overview

C3.1 The *Industrial Transformation Training Centres* is a scheme that fosters close partnerships between university-based researchers and other research end-users to provide innovative Higher Degree by Research (HDR) and postdoctoral training for the end-user focused research industries vital to Australia's future.

C4. Objectives

C4.1 The objectives of the *Industrial Transformation Training Centres* scheme are to:

- a. foster opportunities for Higher Degree by Research candidates and postdoctoral fellows to pursue industrial training
- b. drive growth, productivity and competitiveness within key growth sectors; and
- c. enhance competitive research collaboration between universities and organisations outside the Australian higher education sector
- d. strengthen the capabilities of industries and other research end-users in identified Industrial Transformation Priority areas.

C5. Selection Criteria

C5.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Proposed Project (30%)
 - Does the method and approach proposed clearly address one or more of the nominated Industrial Transformation Priorities?
 - Will the aims, concepts, methods and outcomes drive growth, productivity and competitiveness within key growth sectors?
 - Does the method, approach and intended benefits proposed address the objective of the *Industrial Transformation Training Centres* scheme?
 - Is the conceptual/theoretical framework genuinely integrated, cross-disciplinary, innovative and original?
 - Will the Project build skills and capacity in end-user focussed research?
- b. Feasibility and Benefit (30%)
 - Does the Training Centre demonstrate meaningful engagement with the relevant Industry Growth Centre(s)?
 - Are there adequate strategies to encourage dissemination, promotion, and the commercialisation of research outcomes?
 - Is there a clearly identified market opportunity and benefit to Australian industry?
 - Does the research Project have a wide level of collaboration, including the development of national and international networks and linkages?

- Does the research address the needs of industries and communities as articulated in Australia's Industrial Transformation Priorities for the current round?
- Does the proposed Training Centre represent value for money?
- c. Collaborative Project Research Environment (20%)
 - Is there evidence that the Partner Organisation(s) have the facilities and personnel to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the life of the Project?
 - Does the Project Research Environment provide high-quality intellectual support for the Project?
 - Are the necessary facilities to support the proposed research (physical, technical, access to infrastructure, etc.) available?
 - Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research project?
 - Is there evidence that each of the Partner Organisation(s) has the capacity to support the Project?
 - Are there collaborative arrangements for the organisation(s) and team?
- d. Training Centre Director and Supervisors (20%)
 - Is this the best team to achieve the project goals?
 - Do the team demonstrate suitable Research opportunity and performance evidence (ROPE)?
 - Do the team have experience in engagement with industrial and/or end-user focussed research?
 - Is there evidence that the Training Centre Director and supervisors have the time and capacity to provide effective supervision, support and mentoring for the Higher Degree by Research candidates and postdoctoral fellows over the life of the Project?
 - Do the team have the time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s)?

C6. Funding

C6.1 Level and Period of Funding

- C6.1.1 A Project may be applied for and awarded funding for four or five consecutive years, subject to sufficient funding being available for the *Industrial Transformation Training Centres* scheme, the provisions of the ARC Act, and continued satisfactory progress of the Project.
- C6.1.2 Each Project should request funding from the ARC for at least ten ICHDRs and three ICPDs at the rates as indicated in subsection C7.1.a.
- C6.1.3 Contributions from participating organisations may be used to top-up the salaries of the ICHDRs and ICPDs requested under C6.1.2.

- C6.1.4 A Project may include additional HDR and postdoctoral roles fully funded by participating organisation contributions, however these roles are not considered to be ICHDRs and ICPDs, are not covered by the employment conditions in the Funding Agreement and are therefore not eligible to access the entitlements set out in the Funding Agreement.
- C6.1.5 The minimum level of funding provided by the ARC under *Industrial Transformation Training Centres* is \$650,000 per year for the first three years and \$150,000 in the fourth year. There is no minimum level of funding provided by the ARC in the fifth year. The maximum level of funding is \$1 million per year per Project, for each year of the Project.
- C6.1.6 ICHDR stipends must be requested in the Proposal budget for a duration of two or three years, as appropriate for the HDR that the ICHDR is undertaking.
- C6.1.7 It is anticipated that many or all of the ICHDR students may require a six month extension of their funding in order to complete research and submit their thesis. The six month ICHDR extension will be subject to prior ARC approval in the relevant year of the Project. Funding to support an ICHDR extension must be requested for each ICHDR candidate on the Proposal, and must be included in the relevant year of the Proposal budget.
- C6.1.8 Funding for approved Projects will commence effective as specified at C1.2, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.

C7. Budget Items Supported

- C7.1 In addition to budget items supported at A7.1.1, budget items that directly support a research Project may be funded, including:
- a. personnel:
 - i. stipends for ICHDRs enrolled at an Eligible Organisation, at \$31,298 (2015\$, 1.0 FTE) per year for a two or three year period. All ICHDR stipends requested from the ARC must include a request for a pro-rata six month extension in the relevant year of the Proposal budget;
 - ii. ICPDs, at \$106,688 (2015\$, 1.0 FTE) per year for researchers appointed for at least half-time (50 per cent of Full Time Equivalent) at an Eligible Organisation for the duration of their role on the Project; and
 - iii. salary support for a Training Centre Manager, research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 30 per cent on-costs, for the Administering Organisation.

C8. Organisational Types, Roles and Eligibility

C8.1 Eligible Organisations Requirements

- C8.1.1 The Administering Organisation will be responsible for ensuring that:

- a. ICHDRs funded under the *Industrial Transformation Training Centres* scheme conduct research for a minimum total of one year full-time placement within a Partner Organisation (outside the higher education sector) over the life of the Project; and
 - b. ICHDRs and ICPDs funded under the *Industrial Transformation Training Centres* scheme meet all the conditions in these Funding Rules.
- C8.1.2 In addition to the organisations listed in section A17, National ICT Australia is an Eligible Organisation for *Industrial Transformation Training Centres* for funding commencing in 2016.

C8.2 Partner Organisations General Requirements

- C8.2.1 A Proposal must include at least one Australian Partner Organisation.

C8.3 Partner Organisation Contribution Requirements

- C8.3.1 The Proposal must demonstrate that the **combined** Cash and In-kind Contributions to the Training Centre are sufficient to support all the research projects described in the Proposal and particularly that of the ICHDRs and ICPDs in the Training Centre.

C9. Roles and Eligibility for Participants

C9.1 Participant Roles and General Eligibility

- C9.1.1 Roles that may be nominated in a Proposal are:

- a. Training Centre Director;
- b. Chief Investigator (CI); or
- c. Partner Investigator (PI).

- C9.1.2 The following roles must be nominated in a Proposal:

- a. at least two CIs from the Administering Organisation, where one will be the Training Centre Director;
- b. at least one CI from each Eligible Organisation; and
- c. at least one PI from each Partner Organisation.

C9.2 Eligibility Criteria for a Training Centre Director

- C9.2.1 The Training Centre Director must meet all the eligibility criteria for a CI and must be employed by the Administering Organisation at the commencement of and for the duration of the Project.

- C9.2.2 The Training Centre Director is expected to have a minimum time commitment of 0.5 FTE on the activities of the Centre. If a Training Centre Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.

- C9.2.3 The Training Centre Director will be responsible for developing and implementing the strategies and managing the research Project in cooperation with the Training Centre Manager (where a Manager is appointed on the Project). The Training Centre Director must coordinate the research effort and reporting structures across Eligible Organisation(s) and Partner Organisation(s).

- C9.2.4 The Training Centre Director is expected to be fully committed to the activities of the Project with a significant commitment of time. If a Training Centre Director is unable to meet this undertaking, the ARC may, in its absolute discretion, decide not to recommend the Proposal for funding.
- C9.2.5 If a Proposal has been approved for funding and the Training Centre Director is at any time during the Project no longer able to undertake this role, the Project may be continued under a replacement Training Centre Director provided that:
- a. prior approval is obtained from the ARC for the change in Training Centre Director;
 - b. a suitable replacement Training Centre Director meets the eligibility criteria for a Training Centre Director and those for a CI at the time of her/his nomination and for the full term of her/his participation in the Project, and the reasons for replacement are justified to the satisfaction of the ARC; and
 - c. the Administering Organisation has obtained approval from all participating organisations for the change in Training Centre Director.

C10. Selection of ICHDRs and ICPDs

C10.1 General

- C10.1.1 Once a successful Proposal for the *Industrial Transformation Training Centres* scheme has been approved and announced, the successful Administering Organisation must then undertake a process of competitive national and international recruitment for ICHDRs and ICPDs to be appointed under the scheme. The recruitment and selection processes must:
- a. include competitive recruitment practices involving advertisement, selection and offers; and
 - b. demonstrate an effort to attract and recruit external and international candidates.
- C10.1.2 Details of the selection and recruitment process must be made available on request to the ARC for audit purposes.

C10.2 Roles and Eligibility for appointed ICHDRs and ICPDs

- C10.2.1 For the duration of their candidature, ICHDRs recruited to and funded under the *Industrial Transformation Training Centres* scheme must be enrolled in a Higher Degree by Research at an Eligible Organisation.
- C10.2.2 For the duration of their role on the Project, ICPDs funded under the *Industrial Transformation Training Centres* scheme must hold a PhD qualification and be an employee for at least half-time (50 per cent of Full Time Equivalent) at an Eligible Organisation—this excludes honorary, adjunct or equivalent appointments.
- C10.2.3 The ICHDRs and ICPDs funded under the *Industrial Transformation Training Centres* scheme cannot commence another Commonwealth Award or Fellowship while they are employed with funds from the Project.
- C10.2.4 In accordance with subsection C8.1.1.a, ICHDRs funded under the *Industrial Transformation Training Centres* scheme must conduct a minimum total of one year in full-time placement within a Partner

Organisation (outside the higher education sector) over the life of the Project.

C10.3 Extension of ICHDRs

C10.3.1 In accordance with subsections C6.1.6 and C6.1.7, the Proposal must include a request for an initial two or three year stipend period in the Proposal budget, and must also include a request in the relevant year of the Proposal budget for a six month extension, for all ICHDRs.

C11. Proposals

C11.1 Number of Proposals and Cross-Scheme Eligibility

C11.1.1 A CI may only submit and/or be funded concurrently for a maximum of two Projects and/or Proposals from the *Industrial Transformation Training Centres* and *Industrial Transformation Research Hubs* schemes either separately or combined. A CI may only hold the role of Training Centre Director, Hub Director or Director of an ARC Centre for one Project or Proposal at a time.

C11.1.2 A CI or Training Centre Director cannot be involved in more than the maximum number of *Industrial Transformation Training Centres/Industrial Transformation Research Hubs* Projects permitted in 2016. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding at 1 January 2016 and the number of Proposals submitted for funding commencing 1 January 2016. A Project is considered to be funded for the years set out in the Funding Agreement.

C11.2 Proposal Eligibility and Duplication

C11.2.1 A Proposal may only be submitted where the research addresses one or more of the Industrial Transformation Priorities for the current round.

C12. Reporting Requirements

C12.1 Key Performance Indicators

C12.1.1 The Administering Organisation will be required to submit KPIs for each Training Centre approved by the ARC.

C12.1.2 The KPIs for each Training Centre must include targets for each year of funding against standard KPIs as well as project specific KPIs and targets for each year of funding. The ARC will provide the Administering Organisation with a form and instructions for this report.

C12.1.3 The Administering Organisation must report against the agreed KPIs annually in Progress Reports.

C12.2 Progress Reports

C12.2.1 The Administering Organisation must submit an annual Progress Report to the ARC for each Training Centre in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au.

C12.3 Performance Reviews

- C12.3.1 Ad hoc reviews of Training Centres, which may inform satisfactory progress according to C6.1.1, may be held at any time. A review will be triggered in special circumstances including, but not limited to:
- a. a change of Training Centre Director; or
 - b. proposed transfer of the Training Centre to a new Administering Organisation.
- C12.3.2 Outcomes and feedback arising from the performance reviews as outlined above may inform future evaluations of the *Industrial Transformation Training Centres* scheme.

Part D – Scheme-specific rules for *Linkage Projects* for funding commencing in 2016

D1. Interpretation

- D1.1 Part D contains the scheme-specific rules for *Linkage Projects* for funding commencing in 2016.
- D1.2 The Commencement Date for *Linkage Projects* for funding commencing in 2016 is 1 July 2016.

D2. Additional Definitions for Part D

- D2.1 **Exempt Archive and Public Record Office** means a non-profit organisation which holds a significant national, state or regional collection of data or documents for the purposes of public information and record-keeping and available for the purposes of research.
- D2.2 **Exempt Charity** means an organisation which meets the definition of a charity under the *Charities Act 2013*.
- D2.3 **Exempt Herbarium²** means a non-profit, established institution in the service of society, which acquires, conserves, and researches preserved and labelled plant specimens, arranged to allow easy access and archival storage with a mission to preserve and document the diversity of plants.
- D2.4 **Exempt Museum and Collecting Organisation³** means a non-profit, established institution in the service of society and its development, open to the public, which acquires, conserves, researches, communicates and exhibits the tangible and intangible heritage of humanity and its environment for the purposes of education, study and enjoyment.
- D2.5 **Exempt Non-Profit Organisation** means an organisation which meets the Australian Taxation Office (ATO) definition of a non-profit organisation – an organisation that does **not** operate for the profit or gain of its individual members, either directly or indirectly. This applies both while the organisation is operating and when it winds up. This definition is available at www.ato.gov.au.
- D2.6 **Exempt Start-up** means a company that is commercialising research and development (R&D) activities and has an average annual revenue over the previous two years of income that does not exceed \$5 million per year. The start-up must have a majority of its employees (by number) and assets (by value) inside Australia.
- D2.7 **LP** means the *Linkage Projects* scheme.
- D2.8 **Project Leader** means the first-named CI on a Proposal.

D3. Overview

- D3.1 The *Linkage Projects* scheme provides funding to Eligible Organisations to support research and development (R&D) projects which are collaborative between higher education researchers and other parts of the national

² Adapted from: <http://herbarium.msu.edu/definition.html>

³ Adapted from: <http://icom.museum/the-vision/museum-definition/>

innovation system, which are undertaken to acquire new knowledge, and which involve risk or innovation.

D4. Objectives

D4.1 The objectives of the *Linkage Projects* scheme are to:

- a. support the initiation and/or development of long-term strategic research alliances between higher education organisations and other organisations, including industry and other research end-users, in order to apply advanced knowledge to problems and/or to provide opportunities to obtain national economic, commercial, social or cultural benefits
- b. provide opportunities for internationally competitive research projects to be conducted in collaboration with organisations outside the higher education sector, targeting those who have demonstrated a clear commitment to high-quality research
- c. encourage growth of a national pool of world-class researchers to meet the needs of the broader Australian innovation system
- d. build the scale and focus of research in the national Science and Research Priorities.

D5. Selection Criteria

D5.1 Proposals will be assessed and merit ranked using the following selection criteria:

- a. Investigator(s) (20%)
 - research opportunity and performance evidence (ROPE);
 - potential to engage in collaborative research with end-users; and
 - time and capacity to undertake and manage the proposed research in collaboration with the Partner Organisation(s).
- b. Proposed Project (50%) comprising
 - i. Significance and Innovation (25%)
 - Will new methods or technologies be developed that address a specific market opportunity?
 - How will the anticipated outcomes advance the knowledge base and/or provide an industry advantage?
 - Does the Project plan provide a business model for implementation?
 - Will the proposed research maximise economic, commercial, environmental and/or social benefit to Australia?
 - Does the Project address the Science and Research Priorities?
 - Are the Project aims and concepts novel and innovative?
 - Does the research address an important problem for the partners?
 - How will the Project benefit Partner Organisation(s) and other relevant end-users?

- Does the Project significantly enhance links with organisations outside the Australian publicly-funded research and higher education sectors?
- ii. Approach and Training (15%)
 - Are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the Project?
 - Where relevant, is the intellectual content and scale of the work proposed appropriate to a higher degree by research?
 - How appropriate is the proposed budget?
 - Does the Project represent value for money?
- iii. Project Research Environment (10%)
 - Is there an existing, or developing, supportive and high-quality Project Research Environment for this Project, both within the Administering Organisation and in the Partner Organisation(s)?
 - Are the necessary facilities available to conduct the proposed research?
- c. Commitment from Partner Organisation(s) (30%)
 - Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research Project?
 - Will the proposed research encourage and develop strategic research alliances between the higher education organisation(s) and other organisation(s)?
 - Is the budget justification for Cash and In-kind Contributions adequate?
 - Are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?

D6. Funding

D6.1 Level and Period of Funding

- D6.1.1 The minimum level of funding provided by the ARC under *Linkage Projects* is \$50,000 per year of funding and the maximum is \$300,000 per year of funding per Project, for each year of the Project.
- D6.1.2 A Project may be applied for and awarded funding for a minimum of two to a maximum of five consecutive years.
- D6.1.3 Funding for approved Projects will commence with effect at the Commencement Date specified at D1.2, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act, and continued satisfactory progress of the Project.

D7. Budget Items Supported

- D7.1 In addition to budget items supported at A7.1.1, budget items that directly support a research project may be funded, including:
- a. personnel:

- i. salary support for research associates and assistants, technicians and laboratory attendants at an appropriate salary level, including 30 per cent on-costs, for the Administering Organisation; and
 - ii. stipends for Higher Degree by Research (HDR) students, in whole or in part, at an appropriate level for the Administering Organisation or the relevant industry sector; and
- b. teaching relief for CIs up to a total value for the Project of \$50,000 per year.

D8. Organisational Types, Roles, Eligibility and Contributions

D8.1 Partner Organisations General Requirements

D8.1.1 A Proposal must include at least one Partner Organisation.

D8.2 Partner Organisation Contribution Requirements

D8.2.1 The Proposal must demonstrate that the **combined** Partner Organisation(s) eligible contributions for a Proposal (i.e. the total of the cash and/or in-kind eligible contributions of the Partner Organisations) must at least match the total funding requested from the ARC.

D8.2.2 Pursuant to subsection D6.1.1, a Proposal must seek a minimum \$50,000 and up to \$300,000 a year from the ARC, for each year of the Proposal.

D8.2.3 The **combined** Partner Organisation(s) eligible Cash Contribution must be at least 25 per cent of the total funding requested from the ARC.

D8.2.4 Partner Organisation(s) whose funds are appropriated predominantly from Commonwealth or Australian State or Territory funding sources for the purposes of research are restricted in their capacity to contribute to the required Partner Organisation contribution. Cash and/or in-kind contributions from Partner Organisation(s) of this type are only eligible to make up a maximum of 25 per cent of the required Partner Organisation contribution. This maximum of 25 per cent is the combined eligible contribution from Partner Organisations of this type, and is not the maximum per individual Partner Organisation of this type.

D8.2.5 Partner Organisation(s) whose funds are appropriated predominantly from Commonwealth or Australian State or Territory funding sources for the purposes of research can make combined contributions to the Project over and above 25 per cent of the required Partner Organisation contribution, however these additional contributions are not eligible to make up part of the required Partner Organisation contribution.

D8.2.6 The following types of Partner Organisation(s), as defined at D2 of the Funding Rules, are exempt from the Cash Contribution requirements:

- a. Exempt Archive and Public Record Office;
- b. Exempt Charity;
- c. Exempt Herbarium;
- d. Exempt Museum and Collecting Organisation;
- e. Exempt Non-Profit Organisation; and
- f. Exempt Start-up.

- D8.2.7 Proposals in which all Partner Organisations are exempt from the Cash Contribution requirements do not have to meet the overall Cash Contribution requirement specified at D8.2.3.

D9. Roles and Eligibility for Participants

D9.1 Participant Roles and General Eligibility

- D9.1.1 Roles that may be nominated in a Proposal are:
- a. Chief Investigator (CI); or
 - b. Partner Investigator (PI).
- D9.1.2 The Proposal must nominate at least one CI from an Eligible Organisation. The first named CI must be from the Administrating Organisation and will be the Project Leader.
- D9.1.3 The Proposal may nominate a PI from each Partner Organisation. A PI who is representing a Partner Organisation on the Proposal is required to have a role within that Partner Organisation.

D10. Proposals

D10.1 Number of Proposals and Cross-Scheme Eligibility

- D10.1.1 A CI may submit and/or be funded concurrently for a maximum of four *Linkage Projects* as a CI.
- D10.1.2 A CI cannot be involved in more than the maximum number of Projects (including Awards and Fellowships) permitted in 2016. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding at 1 July 2016 and the number of Proposals submitted for funding commencing 1 July 2016. A Project is considered to be funded for the years set out in the Funding Agreement.
- D10.1.3 Researchers will not be permitted to relinquish a CI role, or existing *Linkage Project* held on 1 July 2015, to circumvent the limits in this section.

D11. Reporting Requirements

D11.1 Progress Reports

- D11.1.1 Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.
- D11.1.2 In addition to the requirements at A15.1 and D11.1.1, a Progress Report outlining progress in both research and business objectives as appropriate must be submitted for year three of a four- or five-year Project.

Part E – Scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2017

E1. Interpretation

- E1.1 Part E contains the scheme-specific rules for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2017.
- E1.2 The Commencement Date for *Linkage Infrastructure, Equipment and Facilities* for funding commencing in 2017 is 1 January 2017.

E2. Additional Definitions for Part E

- E2.1 **CI Manager** means a participant with a responsibility to coordinate access to the research infrastructure and manage the communication between the organisations on the Proposal.
- E2.2 **LIEF** means the *Linkage Infrastructure, Equipment and Facilities* scheme.
- E2.3 **Project Leader** means the first-named CI on a Proposal.
- E2.4 **Single Eligible Organisation Proposal** means a Proposal which includes only one Eligible Organisation (the Administering Organisation). A Single Eligible Organisation Proposal may or may not include Partner Organisations.

E3. Overview

- E3.1 The *Linkage Infrastructure, Equipment and Facilities* (LIEF) scheme provides funding for research infrastructure, equipment and facilities to eligible organisations. The scheme enables higher education researchers to participate in cooperative initiatives so that expensive infrastructure, equipment and facilities can be shared between higher education organisations and also with industry. The scheme also fosters collaboration through its support of the cooperative use of international or national research facilities.

E4. Objectives

- E4.1 The objectives of the LIEF scheme are to:
- a. encourage Eligible Organisations to develop collaborative arrangements with other Eligible Organisations and/or Partner Organisations to develop and support research infrastructure
 - b. support large-scale national or international cooperative initiatives allowing expensive research infrastructure to be shared and/or accessed
 - c. support areas of existing and/or emerging research strength
 - d. support and develop research infrastructure for the broader research community.

E5. Selection Criteria

- E5.1 Proposals will be assessed and ranked using the following selection criteria:
- a. Significance of research to be supported with the proposed research infrastructure: 20%

- i. nature of the research, including aims and significance;
 - ii. relevance of the proposed research infrastructure to the needs of ARC and other competitively funded research projects/programmes;
 - iii. enhancement of support for areas of existing and/or emerging research strength; and
 - iv. demonstrated national or international focus for large scale cooperative initiatives.
- b. Need and use of the proposed research infrastructure: 30%
- i. demonstrated need for the features specific to the requested research infrastructure;
 - ii. availability of and access to similar research infrastructure at organisational, regional, national and/or international level;
 - iii. demonstrated needs from the researchers and/or research projects that will utilise the proposed research infrastructure, including level of demand and likely measurable impact on the research programme, including beyond the duration of the project;
 - iv. value for money and budget justification for cash and in-kind contributions, and the expected rate of use of the proposed research infrastructure;
 - v. planned use of the proposed research infrastructure, including proposed arrangements for broader access to individuals not named on the Proposal and the alignment of this planned use with other similar existing infrastructure within Australia and/or internationally;
 - vi. special needs for regional or otherwise isolated institutions; and
 - vii. national benefit of the proposed research infrastructure to the broader research community.
- c. Nature of the alliance and commitment between the organisations named on the Proposal: 30%
- i. relevance of the research to the strategic priorities of the organisations;
 - ii. evidence that each of the organisations is genuinely committed to, and prepared to collaborate in, the Project;
 - iii. existing or planned strategic research alliances between the higher education organisation(s) and other organisation(s); and
 - iv. effectiveness of cooperative arrangements for the management and sharing of the proposed research infrastructure, including arrangements for ongoing operational expenditure where applicable.
- d. Investigator(s): 20%
- i. track record of investigators relevant to the use of the proposed research infrastructure, with consideration given to Research Opportunity and Performance Evidence (ROPE);
 - ii. for CIs and PIs who will manage the purchase, design, manufacture, installation, maintenance and coordination of

- access to the proposed research infrastructure, a demonstrated record in these activities; and
- iii. relevance of the research infrastructure to the research capacity and planned activities of each CI and PI on the Proposal and, where relevant, to the research groups represented on the Proposal.

E6. Funding

E6.1 Level and Period of Funding

- E6.1.1 The minimum level of funding provided by the ARC under LIEF is \$150,000 per year.
- E6.1.2 The maximum level of funding provided by the ARC for a Project under LIEF is up to 75 per cent of the total direct cost of the eligible budget items.
- E6.1.3 All LIEF Proposals must have a duration of one year, except as described in E6.1.4.
- E6.1.4 A Project may be applied for up to five years only for:
- a. construction of research infrastructure, as described at E7.1.b; or
 - b. subscription or coordinated access to international facilities and major national facilities, as described at E7.1.d.

A Proposal must request ARC funding in all years of the Project and each year must be fully justified.

- E6.1.5 Funding for a Project may only be carried forward for a maximum of two years from the date funding commences, unless there are exceptional circumstances and with the prior approval of the ARC.
- E6.1.6 Funding for approved projects will commence effective from the Commencement Date specified at E1.2, unless other arrangements are approved by the Minister. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.

E7. Budget Items Supported

- E7.1 Budget items which directly support provision of research infrastructure for use in research projects may be funded, including:
- a. purchase, upgrade, transportation of, installation of, maintenance of and/or management of access to the research infrastructure, including costs such as import taxes (and other similar expenses) for purchasing equipment, and salaries, including 30 per cent on-costs, directly associated with these activities;
 - b. construction of research infrastructure, for up to five years. This includes salaries, including 30 per cent on-costs, directly associated with this activity;
 - c. integrated research facilities consisting of multiple components which can be used either simultaneously or serially for research projects (where each of these research projects is integrated by having a single research aim or theme). However multiple components that are not

genuinely integrated, cannot be requested solely to reach the minimum level of funding specified at E6.1.1;

- d. subscription or coordinated access to international facilities and major national facilities (enabled under a written agreement between the Administering Organisation and the relevant international or national facility), for up to five years;
- e. library and research information infrastructure (non-capital aspects only) to support specific research projects/programmes which may also include salaries and minor pieces of equipment to build an integrated facility; and
- f. compilations, catalogues, clearing houses or bibliographies that build on and develop other current or recent competitively funded projects/programmes.

E7.2 All budget items must be justified in the Proposal to the satisfaction of the ARC and the assessors involved in the peer review process, including confirmation that competitive quotes were negotiated for the research infrastructure.

E7.3 Any salary costs requested under E7.1.a or E7.1.b need to be very carefully justified.

E7.4 With regard to a written agreement as at E7.1.d, the agreement should be for the specific international facility under discussion and the negotiations about the agreement need to have commenced by the time of submission of the Proposal.

E8. Budget Items Not Supported

E8.1 In addition to the budget items not supported under section A8, budget items which will not be supported by ARC funding and should not be requested in the budget include:

- a. basic facilities that should normally be funded by an Administering Organisation, Eligible Organisation and/or Partner Organisation (including standard refurbishment costs of a laboratory);
- b. costs of accommodation associated with the use of the proposed research infrastructure;
- c. maintenance and/or operational costs of the proposed research infrastructure after the first year of the Project, including for multi-year Projects permitted under E6.1.4;
- d. salaries and/or on costs, in whole or in part, for research using the facility (for example, for research support personnel);
- e. teaching and/or teaching relief;
- f. travel costs associated with use of the proposed research infrastructure; and
- g. fee-for-service costs where the Proposal does not lead to capability building or development of the research infrastructure.

E9. Organisational Roles and Eligibility

E9.1 Eligible Organisations

E9.1.1 A Proposal must involve two or more Eligible Organisations unless it is a Single Eligible Organisation Proposal and can demonstrate that collaborative use of the proposed research infrastructure by another Eligible Organisation is not practicable.

E9.2 Contributions

E9.2.1 All Eligible Organisations on a Proposal must make a cash contribution.

E9.2.2 Organisational cash contributions for direct costs must make up a minimum of 25 per cent of the total direct cost of the research infrastructure. Cash contributions from the Administering Organisation, Other Eligible Organisation(s), Partner Organisation(s) and Other Organisation(s) are all eligible to make up this minimum of 25 per cent, and should be a demonstration of significant commitment to the project.

E9.2.3 Organisational cash contributions for indirect costs are not eligible to make up part of the minimum of 25 per cent of the total direct cost of the research infrastructure.

E9.3 Collaboration

E9.3.1 The research infrastructure, where appropriate, will be located at the Administering Organisation and be listed in its assets register, unless otherwise approved by the ARC.

E9.3.2 The Proposal must set out, as agreed by each organisation named on the Proposal:

- a. the terms and conditions of access for participants on the Proposal;
- b. the terms and conditions of access for researchers not associated with the Proposal; and
- c. details of the arrangements and costs of managing the research infrastructure (including any recurrent expenditure) and how any costs will be distributed.

E9.3.3 Where the research infrastructure requested is proposed to be located in more than one organisation, the Proposal must demonstrate clearly that:

- a. the facilities are genuinely integrated and collaborative;
- b. the items of research infrastructure are complementary; and
- c. the overall research outcomes will be enhanced by this arrangement.

E10. Roles and Eligibility for Participants

E10.1 Participant Roles and General Eligibility

E10.1.1 Roles that may be undertaken by researchers are:

- a. Chief Investigator (CI); or
- b. Partner Investigator (PI).

E10.1.2 A Proposal must nominate at least one CI; the first-named CI must be from the Administering Organisation, will be the Project Leader and must have a demonstrated high capacity to manage the Project.

E10.1.3 A Proposal may nominate no more than a total of fifteen CIs and PIs. No more than five CIs from each Eligible Organisation or five PIs from each Partner Organisation may be nominated on a Proposal. Other users may be listed in the project description section of the Proposal.

E10.1.4 Every CI and PI (and/or their research group) must be a significant and regular user of the research infrastructure, for a minimum of 10% of the available time of the research infrastructure. Where there are more than ten named participants on a Proposal, the minimum usage is the pro rated percentage of the available time. Where the research infrastructure comprises a database or a data acquisition facility, a case should be made for significant usage by each CI or PI.

E10.2 Eligibility Criteria for Chief Investigators (CIs)

E10.2.1 Each Eligible Organisation must identify one CI who has a demonstrated record relative to opportunity in managing the proposed research infrastructure to be CI Manager for the Eligible Organisation. If an Eligible Organisation only has one CI on the Proposal, that CI will be the CI Manager for the Eligible Organisation.

E10.3 Eligibility Criteria for Partner Investigators (PIs)

E10.3.1 A researcher nominated on a Proposal as a PI must secure a significant cash or in-kind contribution or other resources from their own organisation for the Project (having regard to the total cost of the Project and the relative contribution of other investigators).

E10.3.2 Each Partner Organisation may identify one PI who has a demonstrated record relative to opportunity in managing the proposed research infrastructure.

E11. Limits on Projects and Proposals

E11.1 A researcher must not be nominated as a CI or as a PI on more than two LIEF Proposals in the same funding round.

E11.2 A CI or PI receiving funding under the LIEF scheme may only be named on a maximum of two concurrent Projects under this scheme.

E11.3 A researcher may only submit a Proposal which they would be eligible to hold as at the Commencement Date as specified at E1.2. The ARC will calculate this rule at the closing time of submission of Proposals, by totalling the number of LIEF Proposals submitted by the researcher, plus the number of their currently held LIEF Projects which are funded in 2017.

E11.4 For eligibility purposes a Project is considered to be funded for the years set out in the original Funding Agreement.

E12. Reporting Requirements

E12.1 Progress Reports

E12.1.1 Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.

E12.1.2 In addition to the requirements at A15.1 and E12.1.1, a Progress Report must be submitted for year three of a four- or five-year Project.

E12.2 Final Reports

- E12.2.1 In addition to the requirements at A15.3, the Final Report must contain information which the ARC may publicise regarding the details of the research infrastructure.

FAIR WORK COMMISSION

Fair Work Commission – 4 yearly review of modern awards

Matter number: AM2014/281

Professional Employees Award 2010

Application to vary the Award as part of the 4-yearly review

WITNESS STATEMENT OF DR ROSS SMITH,

. I state as

follows:

1. I am the immediate past president of the peak representative body for Australians working in science and technology across all disciplines in the public, government, not-for-profit and private sectors, Science & Technology Australia. I am the current President of the Asia Pacific Geographic Unit of the global Society of Environmental Toxicology and Chemistry, the inaugural president of the Australasian Chapter of that society and a previous president of the Australasian Society of Ecotoxicology, and I am the co-founder and a Director of the environmental science consulting firm Hydrobiology Pty Ltd and associated entities.
2. In my professional work and in science-related policy and representative roles I have broad-ranging experience of working with, corresponding with, discussing key work-related concerns and matters with, and knowledge of many thousands of professional scientists undertaking scientific duties in all sectors of employment.
3. In my experience, undertaking scientific duties requires the application of principles, techniques and methods developed over the course of a science degree and commonly subsequent discipline-based qualifications. Essentially it makes no difference whether such work is carried out in a Medical Research Institute or in other fields of research science such as working in other types of government or privately funded research institutes, at a University or working in the private sector.
4. The *Oxford English Dictionary* defines the scientific method as "a method or procedure that has characterised natural science since the 17th century, consisting in [sic] systematic observation, measurement, and experiment, and the formulation, testing, and modification of hypotheses." Although precise details of implementation of this method may vary from one field of inquiry to another, the method common to most if not all scientific inquiry involves making hypotheses, developing predictions and then collecting and analysing data designed to test those predictions.
5. It does not matter what the final product of scientific endeavour is, whether it be a journal article, a book, a web article, a patent, a conference presentation or a privately published report, the practice of the scientific method remains the same in principle and in general in all science workplaces, with the validity of the conclusions subject to verification that the scientific method was used via peer review.
6. In my experience, the scientific method is utilised by professional scientists across many industries, disciplines and fields of inquiry.

7. For example, in my industry, environmental consulting, the standard practice is in response to a question posed by a client, we have to devise an appropriate data collection design, usually field sampling of a number of environmental parameters, and then test those data against the question using statistical analyses of null hypotheses. The results are written into a report, reviewed by peers within our organisation, usually by at least one peer in the client organisation or a contracted independent peer, and then commonly submitted to public consultation with substantial numbers of peer and lay reviews resulting. Our work is then subject to scrutiny of other subsequent consulting competitors working for that client, stakeholders in the operations of our clients, particularly critics usually, and the general public if publically released or via freedom of information access if our client is a government body. All without publication in a journal. Clear and robust application of the scientific method is a must in order for the worker and the company to maintain credibility. This indicates that in sectors far removed from university research, application of the scientific method is still a critical to doing science.
8. From my knowledge of medical researchers, via discussions with them about their daily lives, and including recruiting such a person and helping them to settling into an environmental consulting position, it is clear that the medical researchers undertaking work in the MRI sector are utilising the scientific method – they are doing science.
9. I have viewed the current classification structure of the Professional Employees Award, and have used and implemented this award within the workplaces of my company within Australia and believe that research work fits within the award's classification structure. Research is simply the application of the scientific method when the result is uncertain. The award is appropriate for a scientist practising science in any workplace be it in the private, government, or not-for-profit sectors.

Ross Smith

3 June 2016