

**AGENDA ITEM 13****Report of the Research and Research Training Committee****12.2 Report of the Research and Research Training Committee meeting held on 6 February 2007**

The Committee met on 21 November when there were present: The Chair (Professor R Overall) presiding, Professors C Armour, M Behnia, J Christodoulou, M Crossley, K Refshauge, T Hambley, A Masri, B Sutton, N Weber and K White, Associate Professors E Cowley and P McCallum, Drs A Ammit, D Cabrera and J Murphet and Ms K Barnsley, Mr P Brownlee, Mr W Dawson and Ms M Fairskye. Associate Professor B Buckley and Ms M Kemmis were in attendance.

**12.2.1 PhD Award Sub-Committee: Terms of Reference** *(pages H3-H4)*

The Committee noted the revised terms of reference for the PhD Award Sub-Committee approved by the Academic Board in November 2006. The Committee recommends that a further amendment be made to the terms of reference to replace specific references to the Doctor of Education and the Doctor of Juridical Studies with a more general reference to research doctorates within the University.

***Recommendation***

*That the Academic Board amend the terms of reference for the PhD Award Sub-Committee to replace specific references to the Doctor of Education and the Doctor of Juridical Studies with a more general reference to research doctorates within the University, as set out in the report presented.*

**12.2.2 Commercialisation Training Scheme** *(pages H5-H23)*

The Committee was advised that the Department of Education, Science and Training had released the official guidelines for this scheme on 22 December 2006. Despite this, the Office of the Dean of Graduate Studies, in conjunction with the Research Office and the Faculty of Economics and Business has developed an application kit (enclosed) which was distributed in late January, enabling the University to offer the grants for Semester 1, 2007. Applicant selections will be made at the end of February.

The Committee congratulated the Dean of Graduate Studies and the staff of the Research Office and the Faculty of Economics and Business on the rapid deployment of the scheme and the associated Graduate Certificate in Innovation and Enterprise.

***Recommendation***

*That the Academic Board note the report on the Commercialisation Training Scheme, as set out in the report presented.*

**12.2.3 Proceedings of the Committee****(1) Report of the Chair**

The Chair led a discussion on the Committee's workload for 2007, and the structure of the Committee's agendas. Members noted the following issues for discussion and action in 2007:

- Postgraduate handbook;
- Review of PhD examination times (a working party is currently meeting);
- Review of the *University of Sydney (Doctor of Philosophy (PhD)) Rule 2003* (a working party is being formed);
- Review of various postgraduate policies, including the Postgraduate English Language Requirement policy; and
- Research content of the third round of Academic Board faculty reviews.

The Committee noted that regular reports would be received from the Deputy Vice-Chancellor (Research) and the Pro Vice-Chancellor (Research), with quarterly reports from the Business Liaison Office and the Research Office. In terms of the Committee's membership structure it was noted that Associate Professor Peter McCallum would be the Committee's Deputy Chair.

**(2) Report of the Deputy Vice-Chancellor (Research)**

The Deputy Vice-Chancellor (Research) reported to the Committee on the implementation of the Research Quality Framework. He introduced Professor Trevor Hambley as the co-ordinator of the University's RQF Advisory Panel and provided advice on work currently being undertaken to prepare the University, e.g. a series of forums will commence in February, and a census was being conducted of University staff research in relation to the Research Field Course & Disciplines Classifications (RFCD). The census was part of a major data collection project which would underpin the identification and formation of research groups for RQF.

**(3) Report of the Pro Vice-Chancellor (Research)**

The Committee noted the report of the Pro Vice-Chancellor (Research) on her portfolio, which focuses on NH&MRC grants. In particular, the Committee was advised that planned activities for 2007 included career workshops, training for early career researchers, and postgraduate student recruitment. In 2007 the recruitment for PhD candidates will occur in Semester 1 and will be conducted separately from coursework recruitment.

**(4) Report of the PhD Award Sub-Committee**

The Committee noted the reports of the PhD Award Sub-Committee meetings of 24 October 2006 and 23 January 2007 and the meeting held by circulation in December 2006.



# The University of Sydney

## PhD Award Sub-Committee

### Purpose

The PhD Award Sub-Committee advises the Research and Research Training Committee about resolutions, policy and procedures relating to the award of the degree of Doctor of Philosophy and takes decisions in accordance with the resolutions of the Senate and the Academic Board relating to the Examination Process for the degree of Doctor of Philosophy.

### Terms of Reference

1. To advise the Research and Research Training Committee on resolutions, policy and procedures relating to the award of the degree of Doctor of Philosophy and other higher degrees including professorial degrees.
2. To take decisions in accordance with the Resolutions of the Senate and the Academic Board relating to the examination and award of the degree of Doctor of Philosophy and other research doctorates at the University of Sydney ~~higher degrees including, but not restricted to, the Doctor of Education and Doctor of Juridical Studies.~~
3. To advise on the development of processes for the effective implementation of resolutions, policy and procedures relating to the examination and award of the degree of Doctor of Philosophy and other research doctorates ~~higher degrees.~~
4. To provide regular reports on its activities under its terms of reference to the Research and Research Training Committee.
5. To consider and report on any matter referred to it by the Academic Board, the Vice-Chancellor or the Research and Research Training Committee.

### Constitution

#### Ex Officio Members

1. the nominee of the Chair of the Research and Research Training Committee, who shall be chairperson;
2. the Chair of the Research and Research Training Committee or nominee; and

#### Appointed Members

3. six academic staff members appointed biennially by the Chair of the Academic Board on the nomination of the Chair of the Research and Research Training Committee.

#### Co-opted Members

5. The Sub-Committee may co-opt up to two members. Co-opted members may be selected from the members of the Academic Board or the wider University community or may express interest directly to the Chair of the Sub-Committee, but must have an interest and/or experience in issues considered by the Sub-Committee. The term of office of members co-opted by the Sub-Committee shall be specified at the time of co-option and such members shall have all rights and privileges of other members.

#### Frequency of meetings

The Sub-Committee shall meet monthly.

#### Quorum

A quorum for a meeting of the Sub-Committee shall be three (3) members.

**Approved/Revised**

Academic Board, 16 October 2002 – Last revised 28 February 2007

**Committee secretary**

Ms Sally Paynter, Secretariat



# The University of Sydney

## Commercialisation Training Scheme

### Information for 2007 Semester 1 Applicants

The Commercialisation Training Scheme (CTS) is introduced in 2007 by the Commonwealth Government to provide high quality research commercialisation training for the next generation of Australian researchers as a means of equipping them with the skills, knowledge and experience necessary to bring research-based ideas, inventions and innovations to market.

At the University of Sydney, CTS training will require the selected students to concurrently enrol in (on a part-time basis) and complete the Graduate Certificate in Innovation and Enterprise (GCertInn&Ent) at the Faculty of Economics and Business in addition to their Masters by Research or Doctorate degree. Each CTS place will provide the normal tuition fees for the GCertInn&Ent and a living allowance. In 2007, the University expects to offer around 24 CTS places to eligible postgraduate research students. It is proposed that a CTS selection round will be held each semester.

Details of the GCertInn&Ent are available from the Faculty of Economics and Business website: <http://www.econ.usyd.edu.au/course/FG012.html>. In 2007 Semester 1, CTS students can only enrol in one six credit point unit of study, Intellectual Property Management, which requires attending lectures and tutorials for 3 hours a week (6 to 9 pm on Thursdays commencing 8 March 2007) and completing the required assessment.

Please note that the Australian Taxation Office is yet to give formal advice regarding the tax treatment of part-time scholarships for CTS students if they are to enrol part-time in both a research and graduate certificate course. Hence, part-time postgraduate research students who are selected for CTS training need to be aware that until the ATO gives formal advice to the contrary the University is required to deduct income tax at the top marginal rate from the payment of their CTS living allowance. No income tax will be deducted from the payment of the CTS living allowance to full-time postgraduate research students.

#### **Student Eligibility**

To be eligible to receive a CTS place, a student must:

- (a) be an Australian citizen, a New Zealand citizen or an Australian permanent resident; and
- (b) be enrolled\* in a postgraduate research degree; and
  - \* the period of enrolment (including any upgrade from a Masters by research to a Doctorate degree) must be less than six full-time (or equivalent part-time) semesters at the end of 2006.
- (c) have completed at least two full-time (or equivalent part-time) semesters of enrolment in the postgraduate research degree and a recent satisfactory annual review of their candidature; and
- (d) not have previously completed CTS training or training consistent with CTS requirements; and
- (e) have been selected for CTS training through a competitive application process.

### Conditions of CTS Training

- (a) Each CTS place will cover the normal tuition fees for the four units of study in the GCertInn&Ent at the Faculty of Economics and Business.
- (b) CTS students will receive a living allowance of \$2,500 for each of the four units of study in the GCertInn&Ent. The allowance will be paid as a lump sum on a semester basis around late April after Semester 1 enrolment has been checked and around late September after Semester 2 enrolment has been checked. No other benefits will be payable.
- (c) Continuation of CTS training is subject to the student's satisfactory completion of the unit/s of study in the GCertInn&Ent and satisfactory progress in the postgraduate research degree.
- (d) The provision of tuition fees and allowance under CTS will be suspended if students fail to complete a unit (or units) of study in the GCertInn&Ent. Students will need to pay the tuition fees to repeat the unit/s of study as required and will not receive the living allowance for enrolling in repeat unit/s of study. CTS training will only resume after the students successfully complete any repeat unit/s of study.
- (e) Students who fail to complete CTS training within 24 months from the date of commencement are ineligible to receive further support under CTS.
- (f) Students who have commenced CTS training prior to submitting their Masters or Doctorate thesis may be exempted from (e) above for a period of 6 months from the date of submission of their thesis only to allow them to complete their CTS training.
- (g) Subject to (e) and (f) above, students can apply to suspend their CTS training for a maximum period of two semesters. The CTS place will be terminated if students do not resume CTS training after the approved period of suspension.
- (h) CTS training will be suspended if students suspend their research degree enrolment or their enrolment is suspended by the University.
- (i) CTS training will be terminated if students withdraw from their research degree enrolment or their enrolment is terminated by the University.

### CTS Application

To be considered for a CTS place, eligible students must:

- (a) complete the CTS application form (available from <http://www.usyd.edu.au/ro/training/commercialisation.shtml>) and submit it with the required documents to the Research Office by the closing date of **16 February 2007**; and
- (b) complete the Faculty of Economics and Business postgraduate coursework application form (available from <http://www.econ.usyd.edu.au/content.php?pageid=150>) and submit it with the required documents to the Faculty's Student Information Office by the CTS application closing date of **16 February 2007**. A covering note stating that you are applying for a CTS place must also be included.

### CTS Selection

CTS selection will be based on the following criteria specified by the Commonwealth Government:

- (a) The University must preferentially select students it considers will have the best prospects of pursuing a career that will utilise the skills, knowledge and experience gained during CTS training.
- (b) The University must be satisfied that CTS training would neither unduly hinder a student's progress nor compromise the quality of the outputs of the postgraduate research degree.

Applicants must address the first criterion in the form of a written statement of up to one single-sided A4 page, 12 pt font as part of their CTS application. This may include reference to:

- \* industry placements/work experience or consultancies;
- \* commercialization or business planning experience;
- \* patents or inventions;

(This document is available from <http://www.usyd.edu.au/ro/training/commercialisation.shtml>)

- \* authored reports or papers for industry; and
- \* suitability of their postgraduate research for commercialization.

Applicants must request from their Principal Supervisor a signed supporting statement in relation to the first and second criteria of up to half of one A4 page. In addition, they must attach a copy of their complete 2006 Higher Degree Candidature Annual Progress Report.

The CTS Selection Committee will consist of the Dean of Graduate Studies (Chair), the Director of the Business Liaison Office or nominee, an academic staff member from the Faculty of Economics and Business nominated by the Dean of Economics and Business, and an academic staff member nominated by the Chair of the Academic Board.

Successful CTS applicants will be notified by the end of February 2007 and no deferment of the CTS place will be allowed. Students who accept the offer of a CTS place will be required to complete their enrolment in the GCertInn&Ent the Faculty of Economics and Business within the first week in March.

### **Enquiries**

- Questions regarding the Graduate Certificate in Innovation and Enterprise – please contact Mr Richard Seymour, Faculty of Economics and Business, telephone: 9036 7095 or email: [r.seymour@econ.usyd.edu.au](mailto:r.seymour@econ.usyd.edu.au).
- Questions regarding CTS selection – please contact the Office of the Dean of Graduate Studies, telephone: 9036 9518 or email: [DoGS@usyd.edu.au](mailto:DoGS@usyd.edu.au).

**Commonwealth of Australia**  
***Higher Education Support Act 2003***  
**OTHER GRANTS GUIDELINES 2006**

Amendment of Guidelines pursuant to section 238-10 of the *Higher Education Support Act 2003*

I, JULIE BISHOP, Minister for Education, Science and Training, pursuant to section 238-10 of the *Higher Education Support Act 2003* ("the Act"), make the attached amendment to the Other Grants Guidelines 2006 for the purposes of Part 2-3 of the Act.

Dated this.....5th.....day of.....December.....2006.

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JULIE BISHOP  
**Minister for Education, Science and Training**

**COMMONWEALTH OF AUSTRALIA**  
***Higher Education Support Act 2003***  
**OTHER GRANTS GUIDELINES 2006**  
**Amendment**  
**No. 1**

**(i) CITATION**

These guidelines may be cited as Amendment No. 1 to the Other Grants Guidelines 2006.

**(ii) AUTHORITY**

These guidelines are made under section 238-10 of the *Higher Education Support Act 2003*.

**(iii) DATE OF EFFECT**

These guidelines shall come into effect on the day after they are registered on the Federal Register of Legislative Instruments.

**(iv) AMENDMENT**

These Guidelines amend the Other Grants Guidelines 2006 registered on 22 November 2006 (see F2006L03785) and which commenced on 23 November 2006.

**PURPOSE**

The purpose of these guidelines is to amend the Other Grants Guidelines 2006 registered on 22 November 2006.

The Other Grants Guidelines 2006 are amended as follows:

**Item 1**

Amend Chapter 8, "Grants to support the training of research students" by inserting the following new paragraph after 8.1.1(a)(ii):

- (iii) the Commercialisation Training Scheme (CTS) as a programme under which grants can be paid for the purpose of supporting the training of HDR students in research commercialisation; and

**Item 2**

Delete subclause 8.1.1(b) and replace with:

- (b) under subsection 41-15(2) of the Act, some other matters relevant to the RTS, Federal Register of Legislative Instruments F2006L04080

RPS and CTS.

### Item 3

Insert clause 8.70 to 8.130 at the end of subclause 8.60.1:

#### **8.70 Commercialisation Training Scheme (CTS)**

##### **8.75 CTS Description**

8.75.1 The CTS provides block grants, in respect of the 2007 calendar year and each later year (the "Grant Years"), to eligible HEPs to support research commercialisation training for domestic HDR students.

8.75.2 These students, referred to as 'CTS students', are exempt from payment of student contribution amounts and tuition fees for units undertaken as part of CTS training.

##### **8.80 CTS Objective**

8.80.1 The objective of the CTS is to provide high quality research commercialisation training for the next generation of Australian researchers as a means of equipping them with the skills, knowledge and experience necessary to bring research-based ideas, inventions and innovations to market.

##### **8.85 Conditions that Apply to CTS Grants**

8.85.1 Conditions that apply to CTS grants are set out in Appendix 8A of this chapter 8 of the Guidelines.

##### **8.90 Extra Conditions of Eligibility for CTS Grants**

8.90.1 Before the end of the year immediately preceding any particular Grant Year, DEST will contact all HEPs to seek written confirmation of their intention to comply with the requirements set out in these Guidelines for the CTS for the Grant Year. The process for seeking confirmation and its timing will be determined by DEST and provided annually to HEPs.

Only HEPs that confirm their intent will be eligible for CTS funding in respect of the Grant Year.

##### **8.95 How CTS Grants will be Determined**

8.95.1 HEPs preliminary CTS grant amounts will be determined according to the total CTS funds available multiplied by each HEP's share of the initial CTS performance index which includes all eligible HEPs and is calculated according to paragraph 8.95.3. If all preliminary grant amounts are greater than the minimum CTS grant amount (as specified in paragraph 8.95.4), then the preliminary grant amounts become the final CTS grant amounts.

8.95.2 Where one or more HEPs have a preliminary grant amount less than or equal to the minimum CTS grant amount, but greater than zero, these HEPs final CTS grant amount will be equal to the minimum CTS grant amount. The final CTS grant amounts for all "**remaining HEPs**" (i.e. those HEPs not allocated a minimum grant amount) are then determined according to a formula calculated as follows:

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**(1- ratio) x secondary grant amount + minimum CTS grant amount**

where:

- (a) the "ratio" is equal to the "excess amount" divided by the sum of the remaining HEPs' "secondary CTS grant amounts"; and
- (b) the excess amount is equal to the remaining HEPs preliminary grant amounts plus all minimum grant amounts previously allocated minus the total CTS funds available for the Grant Year; and
- (c) for each remaining HEP, the secondary CTS grant amount is equal to its preliminary CTS grant amount minus the minimum CTS grant amount.

*The CTS performance index*

- 8.95.3 The CTS performance index is a list of the relative performances of a group of HEPs defined for a particular purpose. The relative performances are expressed as a percentage of the sum of all performances within the defined group. Each HEP's percentage is known as a share.

A share is the sum of three performance components after each has been multiplied by a proportioning factor:

- HDR student completions performance has a proportioning factor of 0.5
- Research Income performance has a proportioning factor of 0.4
- Research Publications performance has a proportioning factor of 0.1

**HDR student completions performance**

HDR student completions performance for a HEP is equal to a HEP's weighted completions divided by total weighted completions of a defined group of HEPs.

Weighted completions equals the sum of all categories of completions after each has been multiplied by the specified weighting factor:

- Doctorate degree by research has a weighting factor of 2;
- Masters degree by research has a weighting factor of 1.

Each category of data is the average of the most recent two years for which data is available and is sourced from the Higher Education Student Data Collection.

**Research income performance**

Research income performance for a HEP is equal to a HEP's weighted Research income divided by total weighted Research income of a defined group of HEPs.

Weighted Research income equals the sum of all categories of Research income after each has been multiplied by the specified weighting factor:

- Australian Competitive Grants Income has a weighting factor of 1;
- Other Public Sector Research Income has a weighting factor of 1;
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Industry and Other Research Income has a weighting factor of 1;  
Cooperative Research Centres Research Income has a weighting factor of 1.

Each category of data is the average of the most recent two years for which data is available and is sourced from the Higher Education Research Data Collection.

### **Research publications performance**

Research publications performance for a HEP is equal to a HEP's weighted Research publications divided by total weighted Research publications of a defined group of HEPs.

Weighted Research publications equals the sum of all categories of Research publications after each has been multiplied by the specified weighting factor:

- Books have a weighting factor of 5 ;
- Book chapters have a weighting factor of 1;
- Journal articles have a weighting factor of 1;
- Conference papers have a weighting factor of 1.

Each category of data is the average of the most recent two years for which data is available and is sourced from the Higher Education Research Data Collection.

#### *Minimum CTS Grant Amount: 2007*

- 8.95.4 The minimum CTS grant in respect of 2007 is \$20,810 for a HEP.

#### *Minimum CTS Grant Amount: 2008 and later years*

- 8.95.5 The minimum CTS grant amount of \$20,810 applying in 2007 will be indexed for subsequent years in accordance with the method of indexation set out in Part 5-6 of the Act.

### **8.100 Payment of Grants**

- 8.100.1 CTS grants will be made by instalments in the manner and at the times determined by the Minister and the Secretary, respectively, under subsections 164-5(1) and (2) of the Act.

### **8.105 Use of CTS Grants**

- 8.105.1 A HEP must spend CTS grants only on:
- (a) providing CTS training to its CTS students; or
  - (b) payments to another HEP to provide CTS training on behalf of the HEP in accordance with a separate written agreement between the HEPs.
- 8.105.2 In addition to providing CTS training as specified in 8.105.1, a HEP may make payments to its CTS students in order to assist them to meet the direct costs of undertaking CTS training such as the provision of a stipend for living costs or the provision of allowances.

### **8.110 Student Eligibility for CTS Training**

- 8.110.1 To be eligible to receive benefit under the CTS, a student must: (a) be enrolled in a HDR; and  
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- (b) be a domestic student, as defined in the Act; and
  - (c) not have previously completed CTS training or training consistent with that described in 8.115.
- 8.110.2 Students who, under any circumstances, are entitled to receive credit towards the CTS qualification from prior studies can only receive benefit under the CTS for the remaining period of study necessary to complete CTS training.
- 8.110.3 Students who fail to complete CTS training within 24 months from the date of commencement (plus any periods of suspension or leave approved by HEPs) are ineligible to receive further support under the CTS.
- 8.110.4 Students who have commenced CTS training prior to submitting their HDR thesis may be exempted from 8.110.1 (a) for a period of 6 months from the date of submission of their HDR thesis (subject to 8.110.3) only to allow them to complete CTS training.
- 8.110.5 HEPs must monitor students' ongoing eligibility to ensure that each student continues to meet the eligibility requirements set out in these Guidelines.

#### *Provision of False Information*

- 8.110.6 If a HEP knows or has reason to believe that a student in receipt of benefit under the programme has provided false or misleading information to the HEP in relation to the programme, the HEP must immediately:
- (a) re-assess the student's entitlement to benefit under the programme; and
  - (b) notify DEST of the suspected offence and provide a copy of the student's application and any other relevant information requested by DEST.

### **8.115 CTS Training**

#### *CTS Training - General Requirements*

- 8.115.1 CTS training must:
- (a) result in a Graduate Certificate qualification being awarded by a Table A or Table B HEP (as specified in section 16-15 or section 16-20 of the Act) to students that complete CTS training to the satisfaction of the HEP; and
  - (b) take no longer than six months full-time study or equivalent part-time study to complete; and
  - (c) be in addition to a student's HDR course load; and
  - (d) add value to a student's HDR experience; and
  - (e) enhance a student's career prospects; and
  - (f) be customised to meet individual student needs wherever possible; and
  - (g) involve industry and other relevant expertise in the on-going development, delivery and evaluation of the training.

#### *CTS Training - Course Requirements*

- 8.115.2 CTS Training courses must demonstrate capacity to provide learning in three knowledge areas: Commercialisation Know-how, Technical  
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### Commercialisation Skills and Organisational Behaviour Skills.

- (a) With regard to Commercialisation Know-how, students must gain an understanding of commercialisation processes and activities commonly employed to bring research based ideas, inventions and innovations to market.
- (b) With regard to Technical Commercialisation Skills, students must gain a comprehensive understanding of relevant technical commercialisation subject areas. Intellectual Property Management is a mandatory area of learning. Other technical commercialisation subject areas covered may be determined by HEPs taking into account individual student needs but, wherever possible, should include Financial Management, Project Management and Market Research.
- (c) With regard to Organisational Behaviour Skills, students must gain a comprehensive understanding of subject areas that cover interpersonal and communication skills relevant to research commercialisation activities including Leadership, Teamwork and Presentation skills.

8.115.3 CTS training must provide for significant elements of practical, non-lecture based learning where students are given the opportunity to participate in team-based learning exercises centred on research commercialisation scenarios.

8.115.4 The requirements at 8.115.2 and 8.115.3 comprise the minimum requirements only and may be supplemented by HEPs on condition that any additional training is consistent with the programme objective.

### 8.120 Interruptions to CTS Training

#### *Suspensions*

8.120.1 Students may apply to their HEP for a suspension of their CTS training. The approval of suspensions will be at the discretion of the HEP.

#### *Leave*

8.120.2 Students may apply to their HEP for leave during their CTS training. The approval of leave will be at the discretion of the HEP.

#### *Transfer to another HEP*

8.120.3 Students who transfer to another HEP may continue to receive CTS training from the new HEP and associated assistance only if their new HEP agrees to its continuation and subject to the new HEP having sufficient CTS grant amounts of its own available.

### 8.125 Termination of CTS Training

- 8.125.1 A HEP must terminate a student's CTS training:
- (a) if the student ceases to meet the eligibility criteria specified in paragraph 8.110.1 of these Guidelines, other than during a period in which the CTS training has been suspended or during a period of leave under paragraphs 8.120.1 or 8.120.2 of these Guidelines; or
  - (b) when the student completes the course of study; or
  - (c) if the HEP determines that:
    - (i) the CTS training is not being carried out with competence and / or diligence by the student or in accordance with the offer of Federal Register of Legislative Instruments F2006L04080

- CTS training; or
- (ii) the student has committed serious misconduct, including, but not limited to the provision of false or misleading information in terms of paragraph 8.110.6 of these Guidelines.

8.125.2 If CTS training is terminated, it cannot be re-activated unless the termination occurred in error.

### **8.130 Application, Selection and Offer Processes for CTS Training**

8.130.1 HEPs are responsible for CTS training application, selection and offer processes and must make information about the processes, policies and conditions readily and publicly available.

#### *Application Process*

8.130.2 The HEP must conduct a competitive application process for selecting students to receive CTS training.

8.130.3 All applications by students for CTS training must be submitted to the HEP in the form approved and by the date determined by the HEP.

8.130.4 The HEP must include the following statement on the application form, immediately prior to the applicant's signature block: "Giving false or misleading information is a serious offence under the Criminal Code (Commonwealth)".

#### *Selection Process*

8.130.5 The HEP must maintain a CTS selection policy which accords with these Guidelines and the relevant provisions in the Act, including the fairness requirements in Subdivision 19-D of Part 2-1 of the Act. A HEP must select students for CTS training in accordance with the policy.

8.130.6 The HEP must preferentially select students the HEP considers will have the best prospects of pursuing a career that will utilise the skills, knowledge and experience gained during CTS training.

8.130.7 The HEP must be satisfied that CTS training would neither unduly hinder a student's HDR progress nor compromise the quality of the outputs of the HDR.

#### *Offer Process*

8.130.8 The HEP must offer CTS training to as many students as it can support through its CTS grant, taking into account:

- (a) any liabilities arising from previous offers of CTS training to students; and
- (b) any liabilities arising from CTS training arrangements with other HEPs to deliver CTS training; and
- (c) any roll-over of grant amounts as provided for in section 41-40 of the Act.

8.130.9 The HEP must only offer a student CTS training as a result of:

- (a) an application lodged as part of a competitive application process; or
- (b) the HEP's agreeing to continue CTS training for a student who is transferring from another HEP.

- 8.130.10 The HEP must offer CTS training to a student in writing and advise the student in writing of the assistance to which they are entitled and the conditions of CTS training. The written offer must detail any arrangements under which CTS training will be delivered by another HEP or the Graduate Certificate qualification will be conferred by another HEP or jointly with another HEP.

## Appendix 8A: Conditions of CTS Grants

**Note:** Under subparagraph 41-25(b)(i) of the Act, the Other Grant Guidelines (which are defined in section 41-5 of the Act) may specify conditions that apply to a grant.

### MEANING OF WORDS

“**Act**” means the *Higher Education Support Act 2003*;

“**Auditor-General**” means the office established under the *Auditor-General Act 1997* and includes any other entity that may, from time to time, perform the functions of that office;

“**Conditions of Grant**” means these conditions of grant;

“**Department**” or “**DEST**” means the Commonwealth Department of Education, Science and Training; “**Grant**” means a CTS grant;

“**Grant Amount**” means the amount of the Grant calculated in accordance with chapter 8 of the Guidelines, and of which the Department has notified the Recipient;

“**HERDC Specifications**” means the specifications for “Higher Education Research Data Collection”, detailed at:

[http://www.dest.gov.au/sectors/research\\_sector/online\\_forms\\_services/higher\\_education\\_research\\_data\\_collection.htm](http://www.dest.gov.au/sectors/research_sector/online_forms_services/higher_education_research_data_collection.htm);

“**HDR**” means higher degree by research which is a Doctorate or Masters course for which at least two-thirds of the [student load](#) for the course is required as [research](#) work;

“**higher education provider**” has the same meaning as it does in the Act;

“**Intellectual Property Rights**” or “**IPRs**” includes all copyright (including rights in relation to phonograms and broadcasts), all rights in relation to inventions (including patent rights), plant varieties, registered and unregistered trademarks (including service marks), registered designs, circuit layouts and all other rights resulting from intellectual activity in the industrial, scientific, literary or artistic fields;

“**Material**” means any document, software (including source code and object code), or information or data stored by any means;

“**Minister**” means the Commonwealth Minister for Education, Science and Training;

“**personal information**” has the same meaning as it does in the Privacy Act;

“**Privacy Act**” means the *Privacy Act 1988*;

“**Programme**” means the Commercialisation Training Scheme;

“**Programme Delegate**” means the person from time to time holding the office of Director in the Department’s Research Policy and Programmes Section;

“**Recipient**” means the body corporate to which the Grant is made, being a Table A provider or a Table B provider specified in section 16-15 or section 16-20 of the Act;

“**Reports**” means the reports specified in clause 2.1;

“**Third-party IPRs**” means the IPRs in any Third-party Material;

“**Third-party Material**” means any Material incorporated or supplied with the Reports in which the IPRs are owned by a third party alone or jointly with any other party; and

“**Year**” means the year in respect of which the Grant is made, and of which the Department has notified the Recipient.

## 1. THE GRANT

1.1. The Grant is made in respect of the Year, and must be spent only in accordance with the Conditions of Grant and chapter 8 of the Other Grants Guidelines made under section 238-10 of the Act.

1.2. If the Recipient fails to spend an amount of the Grant (the “**Unspent Amount**”), the Recipient may request in writing to the Secretary, or the Programme Delegate, in accordance with requirements for the “Request for Rollover of Unspent Grant Amount” (the “**Request**”) specified in clauses 1.3 and 1.4, that the Secretary:

1.2.1. determine under paragraph 41-40(1)(b) of the Act that section 41-40 of the Act applies to the Recipient in respect of the Grant;

1.2.2. specify under subsection 41-40(1) of the Act a part of the Unspent Amount that is taken to be granted to the Recipient under Part 2-3 of the Act in respect of the year next following the Year (the “**Rollover Grant**”); and

1.2.3. determine under paragraph 41-40(3)(b) such other conditions under which the Rollover Grant is taken to be made.

1.3. Requirements concerning Requests (including a proforma that the Recipient may use for making a Request) are set out at: [http://www.dest.gov.au/sectors/research\\_sector/programmes\\_funding/general\\_funding/rbgrants/](http://www.dest.gov.au/sectors/research_sector/programmes_funding/general_funding/rbgrants/).

1.4. The Recipient must not spend any of the Unspent Amount for any purpose without first receiving written notice from the Secretary (or a person acting on behalf of the Secretary) giving details of the Secretary’s determinations and specification referred to in clauses 1.2.1 to 1.2.3, above.

1.5. The Recipient must:

1.5.1. notify the Minister (or the Minister’s delegate) in writing of any event that may significantly affect the Recipient’s capacity to meet these Conditions of Grant; and

1.5.2. provide the Minister (in the form required by the Minister and at such times specified by the Minister) with such other information that the Minister by notice in writing requires from the Recipient in respect of the Grant or compliance by the Recipient with these Conditions of Grant.

## 2. REPORTING

- 2.1. The Recipient must provide DEST with the Reports and other information specified in the following table in accordance with any requirements specified in the table or in clause 2.2:

Description of Report	Form of Submission	Due Date
Request for Rollover of Unspent Grant Amount	Electronic	15 March of the Year (or unless otherwise notified)
HERDC Research Income Return-Return 1, as specified in the HERDC Specifications	Electronic	30 June of the Year
HERDC Research Publications Return-Return 2, as specified in the HERDC Specifications	Electronic	
HERDC Audit Certificate	Hard Copy	
HERDC Vice-Chancellor's Certification Statement	Hard Copy	
Commercialisation Training Scheme Non-Financial Report	Electronic	

- 2.2. From time to time, the Department will notify the Recipient of any requirements applying to electronic submission of Reports under clause 2.1.

## 3. DISSEMINATION

- 3.1. The Commonwealth may publicise the award of any Grant to the Recipient and information about any aspect of these Conditions of Grant at any time, in such manner and to such parties as it sees fit.

## 4. ACKNOWLEDGMENTS, PUBLICATIONS AND PUBLICITY

- 4.1. In all CTS training related promotional material, publications, speeches, media releases, and brochures the Recipient must acknowledge the contribution made by the Commonwealth. In particular, the Recipient should ensure that:
- 4.1.1. the acknowledgment is prominently recorded and commensurate with that given to state or local government, corporate or other sponsors;
  - 4.1.2. any formal statement issued in relation to any aspect of the project, including speeches, media releases, brochures, should make reference to the Commonwealth contribution;
  - 4.1.3. any signs and plaques erected in association with a project must acknowledge the Commonwealth's assistance; and
  - 4.1.4. where an official opening or launch is proposed for a project the Commonwealth Minister is to be invited to attend or to send a representative.

## 5. DISCLOSURE OF INFORMATION

- 5.1. DEST gives no undertaking to keep confidential the Conditions of Grant or any information in the Reports.

## 6. INDEMNITY

- 6.1. The Recipient must indemnify the Commonwealth against any:

- 6.1.1. loss or liability incurred by the Commonwealth;
- 6.1.2. loss of or damage to Commonwealth property; or
- 6.1.3. loss or expense incurred by the Commonwealth in dealing with any claim against the Commonwealth, including legal costs and expenses on a solicitor/own client basis and the cost of time spent, resources used, or disbursements paid by the Commonwealth;

arising from:

- 6.1.4. any act or omission by the Recipient, or any of the Recipient's employees, agents, or subcontractors in connection with these Conditions of Grant, where there was fault on the part of the person whose conduct gave rise to that liability, loss, damage, or expense;
  - 6.1.5. any breach by the Recipient or any of the Recipient's employees, agents, or subcontractors of obligations or warranties under these Conditions of Grant;
  - 6.1.6. any use or disclosure by the Recipient, or its officers, employees, agents or subcontractors of personal information held or controlled in connection with these Conditions of Grant; or
  - 6.1.7. the use by the Commonwealth of the Reports, including any claims by third parties about the ownership or right to use Intellectual Property Rights (including moral rights, as defined in the *Copyright Act 1968*) in the Reports.
- 6.2. The Recipient's liability to indemnify the Commonwealth will be reduced proportionally to the extent that any fault on the part of the Commonwealth contributed to the relevant loss, damage, expense, or liability.
- 6.3. The Commonwealth's right to be indemnified is in addition to, and not exclusive of, any other right, power, or remedy provided by law, but the Commonwealth is not entitled to be compensated in excess of the amount of the relevant loss, damage, expense or liability.
- 6.4. In this clause 6, "fault" means any negligent or unlawful act or omission or wilful misconduct.

## 7. ACCESS TO PREMISES AND RECORDS

- 7.1. The Recipient must at all reasonable times give:

- 7.1.1. the Auditor-General;
- 7.1.2. the Privacy Commissioner (meaning the Office of the Privacy Commissioner, established under the Privacy Act, including any other entity that may, from time to time, perform the functions of that Office);

- 7.1.3. the person occupying the position of Group Manager, Innovation and Research Systems Group in DEST;
- 7.1.4. a member of the National Investigations Unit in DEST, on production of photo identification;
- 7.1.5. or any person authorised in writing by the Secretary:
  - (i) reasonable access to:
    - A. the Recipient's employees;
    - B. premises occupied by the Recipient;
    - C. Material; and
  - (ii) reasonable assistance to:
    - A. locate and inspect Material;
    - B. make copies of Material and remove those copies, relevant to any Grant.

7.2. The rights referred to in clause 7.1 are subject to:

- 7.2.1. the provision of reasonable prior notice to the Recipient; and
- 7.2.2. the Recipient's reasonable security procedures.

7.3. If a matter is being investigated which, in the opinion of a member of the National Investigations Unit in DEST or any person authorised in writing by the Secretary of DEST, may involve an actual or apprehended breach of the law, clause 7.2.1 will not apply.

7.4. The requirement for access specified in clause 7.1 does not in any way reduce the Recipient's responsibility to perform its obligations under these Conditions of Grant.

## **8. INTELLECTUAL PROPERTY RIGHTS IN THE REPORTS**

8.1. Subject to this clause 8, ownership of the Reports and the Intellectual Property Rights in them vest immediately in the Recipient.

8.2. The Recipient grants to the Commonwealth a permanent, irrevocable, free, world wide, non-exclusive licence (including a right of sub-licence) to use, reproduce, adapt the Intellectual Property Rights in the Reports for any purpose.

8.3. If requested to do so, the Recipient must arrange for the grant to the Commonwealth of a licence over Third-party IPRs in the same terms as set out in clause 8.2.

8.4. The Recipient must, if requested by the Commonwealth to do so, bring into existence, sign, execute or otherwise deal with any document which may be necessary or desirable to give effect to this clause 8.

8.5. The Recipient warrants that it:

8.5.1. is entitled, or will be entitled at the relevant time, to deal with the Intellectual Property Rights in the Reports (including Third-party IPRs) in accordance with this clause 8; and

8.5.2. will obtain valid written consents from all authors (including any authorised subcontractors under these Conditions of Grant) involved in creating Reports and Third-party Material so that the Commonwealth's use of the Reports or Federal Register of Legislative Instruments F2006L04080

Third-party Material in any way will not infringe any author's moral rights under the *Copyright Act 1968*.

## 9. COMPLIANCE WITH LAWS AND POLICIES

9.1. The Recipient must:

9.1.1. comply with the "**Information Privacy Principles**" (as defined in the Privacy Act) when doing any act or engaging in any practice in relation to personal information for the purposes of these Conditions of Grant as if the Recipient were an agency as defined in the Privacy Act; and

9.1.2. deal with personal information received, created or held by the Recipient for the purposes of these Conditions of Grant only to fulfil its obligations under these Conditions of Grant; and

9.1.3. ensure that any contractor engaged by the Recipient to perform any of the Recipient's obligations under these Conditions of Grant are contractually bound to comply with the Information Privacy Principles.

9.2. The Recipient acknowledges that where it is required to give information to DEST, giving false or misleading information is a serious offence under the Criminal Code.

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# The University of Sydney

## Application for a Commercialisation Training Scheme place – 2007 Semester 1

**Closing: Friday, 16 February 2007.**

**Please note: Faxed, late or emailed applications will not be accepted.**

Please read *Commercialisation Training Scheme – Information for 2007 Semester 1 Applicants* before completing this form. The information document and application form are available from:  
<http://www.usyd.edu.au/ro/training/commercialisation.shtml>

Submit five (5) sets of the application and attachments **by 16 February 2007 to:**  
(By mail): (In person):

**Research Office A14  
The University of Sydney  
NSW 2006**

**Research Office  
Room K4.01, 1<sup>st</sup> Floor, Lobby K  
Main Quadrangle A14**

(Telephone): **(02) 9351 3250**

(Email): [research.training@usyd.edu.au](mailto:research.training@usyd.edu.au)

**Do not bind application – staple this form and attachments together.**

### 1. PERSONAL DETAILS

Family Name	Other Names	Title	USYD Student No.
Are you an Australian citizen, a New Zealand citizen or an Australian Permanent Resident? YES / NO		International students are not eligible to receive a CTS place under Commonwealth Government guidelines.	
Home Address		Contact telephone number/s	
		E-mail	

### 2. CURRENT ENROLMENT

To be eligible to receive a CTS place, a student must be enrolled\* in a postgraduate research degree; and have completed at least two full-time (or equivalent part-time) semesters of enrolment in the postgraduate research degree and a recent satisfactory annual review of their candidature.

\* The period of enrolment (including any upgrade from a Masters by research to a Doctorate degree) must be **less than SIX full-time (or equivalent part-time) semesters at the end of 2006.**

*Applicants must attach a copy of their complete 2006 Higher Degree Candidature Annual Progress Report.*

Degree	FT or PT	Faculty/School or Department	FTE semesters at 31/12/2006
Thesis Topic			
Principal Supervisor			
Expected thesis submission date			

### 3. CURRENT SCHOLARSHIP/S DETAILS

List any scholarship/s you currently hold.

Scholarship/s Name	USYD Payroll No.	Annual Stipend	Start Date (month/year)	End Date (month/year)

**4. SELECTION CRITERIA**

CTS selection will be based on the following criteria specified by the Commonwealth Government:  
 (a) The University must preferentially select students it considers will have the best prospects of pursuing a career that will utilise the skills, knowledge and experience gained during CTS training.  
 (b) The University must be satisfied that CTS training would neither unduly hinder a student's progress nor compromise the quality of the outputs of the postgraduate research degree.

*Applicants must address the first criterion in the form of a **written statement** of up to one single-sided A4 page, 12 pt font. This may include reference to:*

- \* industry placements/work experience or consultancies;
- \* commercialization or business planning experience;
- \* patents or inventions;
- \* authored reports or papers for industry; and
- \* suitability of their postgraduate research for commercialization.

*Applicants must request from their Principal Supervisor a **SIGNED supporting statement** in relation to the first and second criteria of up to half of one A4 page.*

**5. SIGNATURE**

I certify that the information provided by me on this form and supporting documentation is complete, true and correct.

I agree to abide by the University's Commercialisation Training Scheme conditions of award as amended from time to time.

I note that if I am a part-time postgraduate research student selected for CTS training that, until the Australian Taxation Office gives formal advice to the contrary regarding the tax treatment of part-time scholarships for CTS students, the University is required to deduct income tax at the top marginal rate from the payment of my CTS living allowance.

I am aware that giving false or misleading information is a serious offence under the Criminal Code (Commonwealth).

Signature of Applicant: ..... Date: .....

**Privacy Notice**

In accordance with the University of Sydney Privacy Policy, the information you provide for this application is collected and held by the University in order to assess candidates for the Commercialisation Training Scheme, and for administrative and statistical purposes. Enquiries regarding access to and correction of the personal information should be directed in the first instance to the Research Office.

**REMINDER**

CTS applicants must complete the **Faculty of Economics and Business postgraduate coursework application form** (available from <http://www.econ.usyd.edu.au/content.php?pageid=150>) and submit it with the required documents to the Faculty's Student Information Office by the CTS application closing date of **16 February 2007**. A covering note stating that you are applying for a CTS place must also be included.

Successful CTS applicants will be notified by the end of February 2007 and **no deferment of the CTS place will be allowed**. Students who accept the offer of a CTS place will be required to complete their enrolment in the Graduate Certificate in Innovation and Enterprise at the Faculty of Economics and Business within the first week in March.