Australian Government
Department of Education

# National Industry PhD Program

## Program Guidelines

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# 1. Program overview

1.1. An Industry PhD is a doctoral program designed with an industry outcome. Under appropriate academic and industry supervision, PhD Candidates often undertake a co-designed research project with university and industry participation.

1.2. The National Industry PhD Program (Program) provides funding and training to equip PhD Candidates with the skills and experience to better translate university research into research impact which can lead to commercialisation outcomes, and the strong capability to work at the interface of research and industry, and across the sectors in future.

1.3. The Program supports industry PhD research projects that are aligned with government priorities, as part of the University Research Commercialisation Strategy Action Plan (2022).

1.4. The objectives of the Program are to:

- Develop talented PhD Candidates into researchers who can work in both industry and academic settings,
- Support industry professionals to develop expert research skills and support the next generation of industry researchers and leaders,
- Contribute to and strengthen industry-focused innovation and development through greater university-industry collaboration, and
- Support PhD Research Projects co-designed between university and industry, aligning with Australian Government (Government) priorities.

1.5. The Program offers funding and training for up to 4 years to support full-time PhD candidates or up to 8 years for part-time candidates. Part-time PhD Candidates are those undertaking less than 75 per cent of an equivalent full-time study load.

1.6. The Program consists of two streams, each of which provides grants for PhD projects:

- **Industry Linked PhD stream**: This stream is for outstanding PhD Candidates to undertake research projects co-designed by university and industry, with opportunities to be embedded in industry settings. The Industry Linked support supplements the Research Training Program (RTP) stipend (or an equivalent scholarship) which universities pay to PhD candidates. The RTP stipend (or equivalent) is required to receive grants under this stream of the Program, noting that payment of the RTP stipend is subject to other requirements under the *Higher Education Support Act 2003* and university policies.
- **Industry Researcher PhD stream**: This stream is for highly capable industry professionals who are supported by their employers to undertake PhD projects in partnership with a university. The Industry Researcher support subsidises the costs to businesses of supporting employees who are PhD candidates.

1.7. The Government selects the projects through a competitive grant application process. The Government approves grants for the projects under the *Higher Education Support Act 2003*. The grant amounts and conditions are prescribed in the Other Grants Guidelines (Research) 2017.

1.8. The legislation enables the Government to award a grant in respect of a project to a university and, in the case of Industry Researchers, to an industry partner of the university.

Universities and industry partners must enter into an agreement for each PhD Project (refer section 8 Collaborative Agreements) and must use the grants to support PhD candidates for the full duration of their PhD candidature in the Program.

1.9. A third-party service provider (Service Provider) appointed by the Department of Education (Department) manages the administration of the Program.

1.10. PhD projects supported by grants can begin on or after the 1 January or 1 July immediately after each application round. For example, if a university applies for a grant in March, and the grant is approved in June, the PhD project can start on or after 1 July of that year. The project must start within 12 months to avoid losing eligibility for the grant. For example, if a grant is approved in June in year X, the project can start on 1 July in year X, and must start by 30 June of the following year, X + 1. The commencement date of the project is also called the project 'kick-off'. Grant payments end when the PhD Candidate first submits their thesis or, in rare cases, if the 4-year full-time or 8-year part-time upper limit is reached (see section 1.5).

# 2. Eligibility

2.1. A PhD candidate who is enrolled at a university may receive support under the Program, including training, if the university receives a grant for a PhD research project under the Program. First, the university must be eligible to receive the grant for the project. In addition, if the candidate is an Industry Researcher, the university's industry partner must be eligible to receive a grant for the project.

2.2. The basic requirement for a university to be eligible is that the university must be listed as a higher education provider under section 16-15 (Table A providers) or section 16-20 (Table B providers) in the *Higher Education Support Act 2003*. Additional requirements, which are explained below, are:

2.2.1. One or more PhD Research Projects that meet Program requirements.

2.2.2. One or more PhD Candidates who meet Program requirements.

2.2.3. One or more Industry Partners who meet Program requirements.

## PhD Research Project requirements

2.3. The university and industry partner must propose a PhD Research Project that is suitable for PhD Candidates to undertake with a potential industry outcome.

### Industry Linked

2.4. The university and industry partner must co-design the research project.

### Industry Researcher

2.5. The industry partner must support an employee (meaning the PhD candidate) to undertake the project, in partnership with the university.

## PhD Candidate requirements

2.6. The university must enrol a PhD Candidate who must:

2.6.1. Be undertaking a PhD (defined as Level 10 Doctoral Degree (Research) or Doctoral Degree (Professional) qualification as described in the Australian Qualifications Framework) for which at least two-thirds is required as research work

2.6.2. Be a domestic or international PhD Candidate

2.6.3. Be supported to participate in the Program by a Participating University

2.6.4. Be awarded an Australian Government Research Training Program (RTP) Fees Offset for the duration of their PhD candidature by a Participating University

2.6.5. Not have previously completed a PhD program at the time of application

2.6.6. Be enrolled in the year they are offered a position in the Program.

Notes:

- If the candidate is enrolled after the grant application, the university must enrol the candidate within a year to remain eligible for the grant. The university must enrol the candidate within the 12-month period that follows the earliest possible start date of the project, which is either 1 January or 1 July immediately after the relevant application round. Hence the date of enrolment must be no later than either 31 December or 30 June in the following year. Refer to section 1.10 for an example.

- If the candidate was enrolled before the grant application, the date of enrolment cannot be earlier than 12 months before the closing date of the application round.

- Exceptions may be considered under exceptional circumstances. Any such exceptions must be approved in writing by the Department.

- The timing requirements apply to both full-time and part-time PhD candidates irrespective of study load.

2.6.7. Be in the first year of their PhD, or if they have already commenced another PhD program, they have received approval from their higher education provider to transfer across to the Program.

Notes:

- A PhD Candidate who has already commenced their first year of study may join the Program with the approval of their university.

- The date when a PhD candidate joins the Program is the date of the PhD project kick-off meeting convened by the Service Provider. This is the earliest date from which grant payments can begin.

## Industry Linked

2.7. The university must award the PhD Candidate an Australian Government RTP stipend scholarship (or equivalent scholarship, with the minimum funding amount equivalent to the RTP stipend base rate) for the duration of their PhD candidature.

Note: The PhD candidate may be enrolled on either a full-time or part-time basis, subject to the agreement between the Participating University and the Industry Partner.

## Industry Researcher

2.8. The industry partner must employ the PhD candidate and support the candidate's participation in the Program.

Notes:

- The PhD candidate must have their employer's agreement to participate in the Program.

- The industry partner must pay full salary and benefits to the PhD candidate for the Program duration.
- A PhD Candidate will undertake study and work concurrently with time spent on each activity to be agreed between the Industry Partner and the Participating University. It is expected that both the study and work components will contribute to the PhD.

# Industry Partner requirements

## Industry Linked

2.9. The university must have a collaborative agreement with a business or organisation.

Notes:

- At the time of the application for the grant, it is sufficient to have written confirmation of the intent of the university and business or organisation to enter the collaborative agreement, for example a letter of intent.
- The department and Service Provider may refer to the business or organisation as the 'Industry Partner', for convenience. In the legislation that term is reserved for bodies corporate that receive grants under the Industry Researcher PhD stream.

2.10. The business or organisation must have an Australian Business Number (ABN) registered with the Australian Taxation Office (ATO) or an Australian Company Number (ACN) registered with the Australian Securities and Investments Commission (ASIC).

2.11. The business or organisation must undertake Research and Development (R&D) activities.

2.12. The collaborative agreement must be in relation to a PhD candidate associated with the business or organisation's research project.

2.13. The agreement must confirm that the business or organisation will provide a yearly cash contribution of at least $10,000 for four years for each full-time PhD Candidate, and at least $5,000 for up to eight years for each part-time PhD Candidate.

Notes:

- The four- or eight-year period stipulated in the above eligibility condition is an upper limit and typically is not the exact duration of a PhD project. The purpose is to ensure that the Industry Linked PhD candidate receives the supplementary support provided by the cash contributions while they receive the other support provided by the Program, for the duration of their PhD project. See also section 3 'Program duration' below.
- In addition to the above eligibility conditions, it is a condition following approval of the grant that the university must enter into a collaborative agreement with the business or organisation for each PhD project in the Industry Linked PhD stream, where the agreement covers intellectual property. Refer to section 8 below on collaborative agreements.

- The business or organisation must be able to support the university to meet the conditions of the approved grant, under which the university must ensure that the PhD candidate spends 20 to 50 per cent of their time working on their PhD project in the facilities of the business or organisation. Refer to section 5 below.

## Industry Researcher – requirements to be eligible to receive grant

2.14. The Industry Partner of a project in the Industry Researcher PhD stream must be a body corporate.

2.15. The Industry Partner must be partnered with a Participating University that is eligible to receive a grant to support a PhD Research Project for the Industry Researcher stream.

2.16. The Industry Partner must employ a PhD Candidate who meets the requirements in section 2.8.

2.17. The Industry Partner must undertake R&D activities.

Note: In addition to the above eligibility conditions, it is a condition following approval of the grant that the university and Industry Partner enter into a collaborative agreement for each PhD project for the Industry Researcher PhD stream, where the agreement covers support for the PhD candidate and intellectual property. Refer to section 8 below on collaborative agreements.

# 3. Program duration

3.1. Program duration means the period during which a grant recipient is eligible to receive grant payments under the Program. This period begins on the date of the enrolment of the PhD candidate and ends on the date of first submission of the thesis, unless:

3.1.1. the grant recipient ceases to be eligible for the grant, or

3.1.2. the number of years of payment reaches a maximum, or

3.1.3. the grant payments reach a maximum.

Notes:

- For some Industry Linked candidates, the enrolment date may not be the start date for calculating the maximum number of years of payment. See section 3.5.
- The date of first submission of the thesis is the date when a student first submits or lodges their thesis for examination.
- The source of authoritative information about dates for the Program is the Tertiary Collection of Student Information (TCSI) system.

3.2. The maximum number of years of grant payments is 4 years for a full-time candidate and 8 years for a part-time candidate. PhD Candidates may undertake their PhD Research Project on a part-time basis if the Participating University and Industry Partner agree. See also section 1.5.

3.3. The maximum number of years of grant payments will be increased if necessary to accommodate a period of leave approved by the Participating University (section 5.6).

Notes:

- An increase to the maximum number of years cannot change the maximum payment amount, which is capped by legislation.
- It is a legislated condition of the grant for an Industry Linked PhD Candidate that the university must provide the student component of the grant (see section 4.5) to the candidate while the candidate meets the requirements of the Program (see section 2.8) which include a requirement to be eligible for the RTP stipend or equivalent. Consequently the candidate will receive the student component during the same period when the candidate is eligible to receive the stipend unless either of the following maximums is reached:
    - The maximum number of years.
    - The maximum payment amount.
- The cap on the payment amount means that it is possible to exhaust the available funding before the submission of the PhD thesis, if the Industry Linked PhD

candidate takes long periods of leave and continues to be eligible for the RTP stipend while on leave.

- It is advisable for universities to contact the Service Provider to discuss the implications of approving leave for an Industry Linked PhD candidate that may extend the maximum number of years; for example, leave periods amounting to more than 6 months.

3.4. A Participating University must notify the Service Provider of the date of submission of the thesis associated with the project funded by a grant.

## Joining the Program after commencing the PhD

3.5. An Industry Linked candidate who enrolled before joining the Program (refer to sections 2.8.6 and 2.8.7) may receive a back-dated payment of up to 12 months of the student component of the grant (refer to section 4.5) to supplement the stipend they received after they enrolled and before joining the Program.

3.6. The Participating University must decide whether to nominate a previously enrolled Industry Linked candidate to receive the back-dated payment after the candidate joins the Program at the PhD project kick-off meeting. The Service Provider and department will confirm the candidate's enrolment data. After the kick-off meeting, and following confirmation, the nominated candidate will receive a one-off, back-dated payment of the student component.

Note: There is no obligation for a university to nominate a candidate to receive this payment, which draws down on the total funding available (see section 3.8 below). If the university does not nominate a candidate, the student component will be calculated from the date of the kick-off meeting, which is when grant payments can commence.

3.7. The period covered by the back-dated payment is a maximum of 12 months calculated backwards from the date of the kick-off meeting. The period ends on the date of the kick-off meeting and starts on whichever of the following dates is later:

3.7.1. The enrolment date, if the enrolment date is no earlier than 12 months before the date of the kick-off meeting.

3.7.2. The date is that is 12 months before the date of the kick-off meeting.

3.8. The date when the period covered by the back-dated payment starts is the starting date for calculating the maximum grant payment.

Note: The one-off, back-dated payment counts towards the maximum amount of the student component. Hence a back-dated payment will exhaust the student component sooner than if there is no back-dated payment.

3.9. Regardless of the whether a candidate is nominated for a back-dated payment:

3.9.1. The Industry Partner (the business or organisation that has agreed to pay a contribution to support the Industry Linked PhD candidate) will pay their contribution from the date of the kick-off meeting.

3.9.2. The maximum number of years of payments and maximum payment amount to the university of the administrative component of the grant (refer to section 4.1) will be calculated from the date of the kick-off meeting.

# 4. Funding and support

## Funding for Participating University

4.1. For each full-time Industry Linked PhD Candidate, Participating Universities will receive a grant of $11,892 per annum contributing to administrative costs. This grant will be provided for up to four years, matching the RTP Stipend (or equivalent scholarship's) period of support awarded to the candidate by the Participating University.

4.2. For each Industry Researcher PhD Candidate, Participating Universities will receive a grant of $11,892 per annum contributing to administrative costs. This grant will be provided for up to four years.

4.3. The Participating University must inform the Service Provider if the relevant Industry Partner no longer meets the relevant requirements set out in section 2.9 and 2.10.

4.4. The Participating University must use the administrative component for administrative costs associated with the Program (such as salary costs for administrative support staff, providing a workspace for the PhD Candidate, or travel expenses of the PhD candidate relating to the Program) and must not pass this grant on to the PhD Candidate as stipend support.

## Funding and support for Industry Linked PhD Candidates, including Industry Partner contributions

4.5. Full-time PhD Candidates will receive a Stipend Top-up to assist with living costs for the Program duration, funded from the following sources:

4.5.1. A minimum of $10,000 per annum from the Industry Partner

4.5.2. $7,135 per annum from the Government, which is the student component of the grant.

4.6. These amounts are in addition to the RTP Stipend (or equivalent scholarship) received by candidates, as awarded by the Participating University. The RTP Stipend rates are specified on the Department's website.

## Further optional contributions made by Industry Partner

4.7. An Industry Partner may choose to provide a Stipend Top-up above the rate, as specified in section 4.5.1. Industry Partners and Participating Universities must ensure that any Stipend Top-up amount is consistent with relevant legislation.

4.8. An Industry Partner may contribute additional funding to support other PhD Research Project costs.

## Training provision for PhD Candidates

4.9. PhD Candidates will be provided with a training program during their candidature to equip them with skills and tools to:

4.9.1. understand the importance of creating positive impact with their research;

4.9.2. uncover the problems that potential partners want to solve, and learn how to identify and engage with industry, government, and community partners; and

4.9.3. enhance their industry engagement and collaboration skills to build connections with their Industry Partners.

4.10. The Service Provider is responsible for the delivery of the training program, focusing on building PhD Candidates' capability and skills to work on research impact, translation, commercialisation, and industry-university collaboration. The training program will be informed by best practice and advice from experts across the university, industry, and government sectors.

## Funding and support for Industry Researcher PhD Candidates, including Industry Partner Contributions

4.11. The Industry Partner is required to commit to supporting the employee (as the PhD Candidate) to undertake study and work concurrently, while paying full salary and benefits for the Program duration, and is responsible for all other relevant expenses, including (but not limited to) workplace accommodation, equipment, and materials as required.

## Funding for Industry Partner under the Industry Researcher PhD Stream

4.12. The Industry Partner will receive $47,572 per annum for the Program duration to support the provision of higher education to their employed PhD Candidate, including for one of the following purposes:

4.12.1. To support PhD Candidates to complete their PhD Research Project; and

4.12.2. To support the Industry Partner with releasing PhD Candidates and other employees of the Industry Partner for periods of time for the purposes of assisting PhD Candidates to complete their PhD Research Project.

4.13. A participating Industry Partner will not be eligible to receive more than $190,288 in total of industry component payments for a single PhD Candidate for the duration of the PhD Research Project.

## Funding payments and process

4.14. Each year, the Stipend Top-up specified in section 4.5.2 and the Industry Partner funding specified in section 4.13 will be provided in proportion to the period for which the PhD Candidate has been supported through the Program.

4.15. For the Industry Linked PhD stream, upon funding approval and compliance with eligibility criteria:

4.15.1. the Service Provider will pay the Government Stipend Top-ups and administrative component to Participating Universities

4.15.2. Industry Partners will pay their co-contributions to Participating Universities

4.15.3. Participating Universities will pay Stipend Top-ups directly to PhD Candidates.

4.16. For the Industry Researcher PhD stream, upon funding approval and compliance with eligibility criteria:

4.16.1. the Service Provider will pay the university administrative component to Participating Universities

4.16.2. the Service Provider will pay the industry component of the grant to the participating Industry Partner.

## Rates for Part-Time PhD Candidates

4.17. All funding amounts specified in section 4 of these Guidelines are set at 50 per cent of the full-time rate for part-time PhD Candidates.

4.18. As an example, an Industry Linked PhD Candidate would receive a minimum $5,000 Stipend Top-up from an Industry Partner, and a $3,657 Stipend Top-up from the Government per annum, for up to eight years. The Participating University will receive $5,946 per annum for each part-time PhD Candidate under this arrangement.

4.19. For the Industry Researcher PhD stream, if agreed by both the Participating University and the Industry Partner, the subsidy can be paid at $23,786 for up to eight years. The Participating University will receive $5,946 per annum for each part-time PhD Candidate under this arrangement.

## Indexation of amounts

4.20. Aside from the co-contributions (refer to 4.5.1, 4.7, and 4.8) from Industry Partners, all funding amounts specified in section 4 of these Guidelines are for the 2024 grant year and will be indexed in future years in accordance with Part 5-6 of the *Higher Education Support Act 2003*.

## Taxation

4.21. Under section 51-10 of the *Income Tax Assessment Act 1997*, scholarships paid to full-time candidates for educational purposes are treated as exempt income. Scholarships paid to part-time candidates are not treated as exempt income under this act. While Industry Linked PhD Stipend Top-ups are intended to be paid for educational purposes, it is recommended that Program participants seek taxation advice from relevant experts in relation to their personal taxation circumstances.



# 5. Program Conditions and Rules

## Embedment of PhD Candidates

5.1. Industry Linked PhD Candidates are required to spend between 20 per cent (Full Time Equivalent (FTE)) and 50 per cent (FTE) of the Program duration embedded in the Industry Partner's setting.

5.2. PhD Candidates are expected to undertake work concerning research into, or investigation relevant to their PhD Research Project. It is also permissible to undertake work that has direct benefits for the PhD Candidate's professional development and should contribute to the overall aim of providing relevant skills and tools to equip the PhD Candidate to better translate university research, with the strong capability to work across the research and industry settings.

5.3. Industry Researcher PhD Candidates are required to spend between 20 per cent (FTE) and 50 per cent (FTE) of the Program duration embedded in the Participating University's setting.

5.4. The amount of time spent within the industry and university settings will be agreed by the Participating University, Industry Partner, and PhD Candidate. The undertakings may take place remotely, online and in physical co-location, as appropriate.

5.5. If not outlined in the application process (refer to section 7), case-by-case exceptions to the 20 to 50 per cent (FTE) range will be considered and subject to the approval of the Department.

## Leave conditions

5.6. Nothing in these guidelines affects or is intended to reduce the leave entitlements of PhD candidates under legislation, university policy, and agreements with industry partners.

## Other conditions

5.7. The Industry Partner must provide an Industry Supervisor for the PhD Research Project. The Industry Supervisor should have extensive experience working in the research area as well as business sector knowledge and meet appropriate PhD supervisor requirements as specified by the Participating University. The allocation of the official supervisory panel is the responsibility of the Participating University.

5.8. In the case that the Industry Partner is unable to provide an Industry Supervisor, an Industry Advisor should be appointed to support the PhD Research Project by the Industry Partner, in agreement with the Participating University.

5.9. The Industry Partner must provide sufficient access to appropriate facilities and infrastructure to support the PhD Candidate and commit to supporting the candidate for the full Program duration, subject to satisfactory progress in the PhD Research Project.

5.10. The Participating University and Industry Partner must make judgements and provide effective professional development and support to PhD Candidates to ensure the successful completion of the PhD Research Project.

# 6. Application Process

6.1. A university may apply to the Government for a grant in respect of a project to support an Industry Linked PhD candidate or an Industry Researcher PhD candidate. An industry partner of the university may apply for a grant in respect of a project to support an Industry Researcher PhD candidate, in which case the relevant university must submit the application (see section 6.3).

Note: The Service Provider can assist potential applicants to identify partners and research projects.

6.2. The Service Provider manages the application process. Calls for applications are made twice a year, within the first two weeks of February and July. Applications may be submitted during a term of six (6) weeks following the call for applications. The Service Provider advertises application rounds widely and provides detailed information on submission requirements.

6.3. A grant application must be submitted by a university using the process or form provided by the Service Provider. If the purpose of the application is to support an Industry Researcher PhD candidate, the university must include the Industry Partner's details in the application and submit the application on behalf of the Industry Partner.

Note: A grant approval under the Industry Researcher stream includes the approval of a grant to the Industry Partner; however, the Industry Partner cannot apply directly for the grant on its own behalf, and instead the university must submit a joint application.

6.4. A grant application must identify whether the applicant is seeking a grant to support an Industry Linked PhD candidate or an Industry Researcher PhD candidate.

6.5. A grant application must contain a proposal for a collaborative PhD Research Project.

6.6. If a research project involves more than one PhD candidate, the university must submit a separate grant application with a unique project title for each candidate, because each grant provides support for one PhD candidate, and the grant is approved in respect of a project.

6.7. If a research project involves more than one university, one of the universities must submit the grant application, as the lead university, because only one university can receive the grant to support a PhD candidate.

6.8. The application process or form will indicate how to submit supporting evidence to demonstrate that the university and Industry Partner are eligible for grants. Refer to the requirements in section 2.

## Withdrawing an application

6.9. Participating Universities and/or Industry Partners (as appropriate) must notify the Service Provider in writing if they wish to withdraw an application.

# 7. Selection Process

## PhD Research Project Selection

7.1. When each application round closes, the Service Provider will conduct eligibility checks and refer all eligible applications to the Department for funding approval. If a Program application round is over-subscribed, an Independent Assessment Panel (IAP) will be established to conduct a competitive selection process for eligible applications. The Service Provider will provide a funding recommendation list to the Department based on the outcomes of the IAP process.

7.2. Funding recommendations and approval will be based on the following selection criteria:

### Engagement between University and Industry Partner (25%)

Alignment with one or more of the following:

7.2.1. Potential for long-term collaboration between the University and Industry Partner. Evidence of the project's benefit to both parties as well as potential innovation in future and a desire to create or expand the University and Industry Partner's working relationship.

7.2.2. (a) Strength and quality of engagement between the University and Industry Partner, including previous projects (where applicable), or interactions to date on the proposed project(s) OR

(b) Commitment to develop new or emerging collaboration between the University and Industry Partner (including partnerships with Small-to-Medium Enterprises (SMEs)) to be established and the potential to drive innovation through the project.

### Research feasibility and strategic alignment (25%)

7.2.3. Viability of the project's design, duration, equipment, and supervisory team(s)/support.

7.2.4. Provision from the Industry Partner's resources for the project's design, development, and delivery, including staff time and cash and/or in-kind contributions.

Additional weightings are provided for alignment of the project with one or more of the following:

7.2.5. Australian Government priority areas, including the National Reconstruction Fund (NRF) priorities.

7.2.6. Located in a regional area outside of the Major Cities locations (as classified by the Australian Statistical Geography Standard (ASGS)).

7.2.7. An Industry Partner that is an Australian-based for-profit organisation.

### Project impact (25%)

7.2.8. Demonstrated understanding of how the project will lead to social, economic, technical, cultural and/or environmental impact.

7.2.9. Relevance of the project to the Industry Partner's (or Partners') commercial or translation opportunities, including the pathways used to encourage the translation of research into impact.

### Capacity, capability, and resources to support the development of PhD Candidates (25%)

7.2.10. Suitability of plans to develop the PhD Candidate and provide appropriate professional development, particularly regarding research translation and/or commercialisation skills and knowledge, and/or the creation of innovative research/industry experience for the PhD Candidate.

7.2.11. Support and commitment from the Participating University and Industry Partner to ensure PhD Candidates will have appropriate access to facilities and infrastructure and receive appropriate support during their PhD, including additional stipend support above the minimum identified Stipend (for Industry Linked PhDs), and support to increase and enhance the potential of their future employment prospects, including through providing professional development and industry experience.

7.3. The Program seeks an appropriate balance in the funding provided to individual and multiple PhD Research Projects. During the selection process, the IAP and Service Provider will consider an objective of up to 30 per cent PhD places to be awarded to multiple PhD Research Projects.

7.4. During the assessment process, the Service Provider may request additional relevant documents if the information provided in the application, particularly in relation to eligibility and perceived or real conflict of interest, is not in full or declared.

## PhD Candidate selection

7.5. For the Industry Linked PhD stream, the Participating University will be responsible for the selection of eligible PhD Candidates, with the support of the Industry Partner if appropriate.

7.6. For the Industry Researcher PhD stream, the Industry Partner will be responsible for the nomination of eligible PhD Candidates, subject to meeting the Participating University's admission requirements.

7.7. In admitting PhD Candidates, the Participating University and Industry Partner may consider the following selection criteria:

7.7.1. Experience relevant to the field of research, including any previous research work done

7.7.2. Professional experience

7.7.3. Academic excellence

7.7.4. Motivation for undertaking an Industry PhD Research Project.

7.8. PhD Candidates can be identified either prior to, or following, the submission of an application.

# 8. Collaborative Agreement

8.1. It is a requirement of the Program that a collaborative agreement be established between the Participating University and Industry Partner. PhD Candidates are also required to agree to the terms of the collaborative agreement.

8.2. A collaborative agreement template is available on the Department's website. This template is voluntary and may be used as a negotiation starting point.

8.3. Participating Universities or Industry Partners can use an existing collaborative agreement template of a similar nature.

8.4. The collaborative agreement established must provide for how intellectual property rights created as part of the PhD Research Project should be handled and must allow the PhD Candidate to use and publish such intellectual property in their thesis or relevant publications.

8.5. For the Industry Linked PhD stream, the collaborative agreement must provide that the business or organisation will provide a yearly cash contribution of at least $10,000 for up to four years for each full-time PhD Candidate, and at least $5,000 for up to eight years for each part-time PhD Candidate.

# 9. Loss of eligibility for the grant during the project

9.1 A university and, where relevant, industry partner must meet the eligibility conditions of the grant explained in section 2 throughout the Program duration to continue to receive the grant.

9.2 If a university or industry partner ceases to meet an eligibility condition:

9.2.1 The university must stop paying the student component of the grant to an Industry Linked PhD candidate immediately if the loss of eligibility was due to the candidate ceasing their enrolment or otherwise losing their eligibility for the RTP stipend or equivalent scholarship.

9.2.2 The university must notify the Service Provider within 5 business days. The notice must indicate the relevant loss of eligibility condition (refer to section 2) and include the date when the university or industry partner ceased to meet that condition ('date of loss of eligibility').

9.2.3 The university may ask that the Department afford a period of grace for the university and, if applicable, industry partner to take action to meet all eligibility conditions of the grant.

Examples:

The university may take action to replace the industry partner for the approved research project if the loss of eligibility was due to the withdrawal of the industry partner.

The university may take action to replace the PhD candidate for the approved research project if the loss of eligibility was due to the withdrawal of the PhD candidate.

9.2.4 The Service Provider will stop grant payments to the university and, for Industry Researchers, the industry partner, and will cease offering and providing training support to the PhD candidate, with effect from the date of loss of eligibility.

9.2.5 The Service Provider will notify and advise the Department about the loss of eligibility, actions taken in response, and any request for a period of grace.

9.2.6 The Department may afford a period of grace of up to 6 months from the date of loss of eligibility for the university and, if applicable, industry partner to take action to meet all eligibility conditions of the grant.

9.2.7 If, within the period of grace, the university and, if applicable, industry partner, notifies the Service Provider that they can demonstrate that they meet all eligibility conditions of the grant:

9.2.7.1 The period of grace will end on the date when the Department confirms it is satisfied that all conditions of eligibility are met.

9.2.7.2 The Service Provider will resume making the grant payments and offering the training, with effect from the end of the period of grace.

9.2.7.3 The Department will extend the maximum number of years of payment (refer to section 3) by the period of grace. This extension will not increase the maximum amount of grant payments.

9.2.8 Otherwise:

9.2.8.1 The university and, if applicable, industry partner will forfeit the grant at the end of the period of grace.

*Exception*

Funding and support under the Program for an Industry Linked PhD Candidate will continue if the loss of eligibility is due to the Industry Partner ceasing its business operations, and a suitable replacement Industry Partner cannot be found, and the PhD Candidate has been supported in the Program for at least two years full-time equivalent or four years part-time. Case-by-case exceptions to the two-year rule may be considered and must be approved by the Department.

9.2.8.2 The Department through the Service Provider may seek to recover any overpayment due to the loss of eligibility.

# 10.Performance reporting and monitoring

10.1. Participating Universities, Industry Partners and PhD Candidates will be required to participate in qualitative and quantitative surveys and data collections as directed by the Service Provider. The collections will avoid duplication of information that is currently collected by the Department through other mechanisms where possible.

10.2. All parties to a grant must complete and submit a final report within 15 business days of the end of the Program duration.

Note: The final report must be submitted using the process or form provided by the Service Provider.

10.3. The Department will evaluate the Program regularly to measure the outcomes and objectives achieved. Indicators used for evaluation may include (but are not limited to):

10.3.1. PhD completion rates

10.3.2. PhD completion timeframes

10.3.3. PhD Candidate experience

10.3.4. PhD graduate outcomes

10.3.5. Industry Partner experience

10.3.6. Level of support provided to PhD Candidates

10.3.7. Effectiveness of the training program

10.3.8. The role of the Service Provider

10.4. Participating University personnel (such as PhD supervisors), Industry Partner personnel (such as Industry Advisers/Supervisors), PhD Candidates, and the Service Provider are required to provide information to help with Program evaluation as requested by the Department.

# Attachment A – Program roles and responsibilities

## Industry Partner responsibilities

A.1 Industry Partners are responsible for:

a. providing PhD Candidates with an industry experience and supporting candidates during the candidature relating to work within the industry setting (for the Industry Linked PhD stream).

b. committing to supporting their employees as PhD Candidates to undertake study and work concurrently while paying full salary and benefits for the Program duration and meeting the costs for other relevant expenditure such as workplace accommodation, equipment, and materials as required (for the Industry Researcher PhD stream).

c. providing an Industry Supervisor or Industry Advisor from its organisation

d. supporting Participating Universities in undertaking the assessment of PhD Candidates (where appropriate)

e. agreeing to and signing a collaborative agreement

f. providing sufficient access to appropriate facilities and infrastructure to support PhD Candidates

g. providing information to the Service Provider as required.

## Participating University responsibilities

A.2 Participating Universities are responsible for:

a. sourcing and selecting PhD Candidates for approved PhD Research Projects (for the Industry Linked stream)

b. assessing PhD Candidates nominated by Industry Partners (for the Industry Researcher stream)

c. providing ongoing academic supervision to PhD Candidates

d. allocating the official supervisory panel

e. supporting PhD research skills, orientation, professional development, and on-boarding

f. agreeing to and signing a collaborative agreement

g. administering payments to PhD Candidates (if needed) and monitoring and reporting expenditure

h. monitoring PhD Candidates progress and ensuring adherence to the terms of the PhD agreement

i. providing information to the Service Provider as required, including reporting and notification of the date of thesis submission.

## PhD Candidate responsibilities

A.3 PhD Candidates are responsible for:

a. understanding and adhering to the terms and requirements set out in relevant guidelines, conditions, collaborative agreements and policy documents by the Department, Industry Partner, and Participating University

b. agreeing to and signing a collaborative agreement

c. making satisfactory progress on the PhD Research Project as determined by the PhD Candidate's University Supervisor(s) and relevant university policies and procedures, with the support of the Industry Supervisor/Industry Advisor

d. submitting participation reports (or surveys) as requested.

## Service Provider responsibilities

A.4 The Service Provider is responsible for:

a. promoting and administering the Program

b. facilitating partnership building opportunities

c. managing application processes

d. undertaking eligibility assessments

e. providing funding recommendations for the Department's approval

f. advising funding outcomes to Participating Universities

g. providing the training, development and learning courses to PhD candidates

h. coordinating data collection and reporting processes as required

i. dispensing funding to Participating Universities.

## Department responsibilities

A.5 The Department is responsible for:

a. selecting the Service Provider

b. supporting the Service Provider in promotion of the Program

c. reviewing funding recommendations submitted by the Service Provider and approving funding for the Program

d. providing funding to the Service Provider for administration

e. maintaining the Program Guidelines

f. monitoring the performance of the Service Provider

g. monitoring and evaluating the overall Program performance.

# Attachment B – Program summary

| | Key elements |
|---|---|
| **Industry Linked PhD** | **PhD Candidates**<br>1. Undertake PhD projects co-designed by university and industry, embedded in industry settings.<br>**Industry Partners**<br>2. Provide an Industry Supervisor and embedment location (whether physical, online and/or remotely).<br>3. Contribute to Stipend Top-up.<br>**Funding and Support**<br>4. Eligible full-time PhD Candidates must be awarded a RTP Stipend (or equivalent), and in addition, will receive a Stipend Top-up, for up to four years:<br>4.1. $10,000 minimum per annum from Industry Partner<br>4.2. $7,135 per annum from the Australian Government (indexed as per section 4.21)<br>5. Participating Universities will receive $11,892 per annum (indexed as per section 4.21), for up to four years, for each full-time candidate.<br>**Embedment of PhD Candidates**<br>6. PhD Candidates are required to spend between 20 per cent (FTE) and 50 per cent (FTE) of the Program duration in the Industry Partner's setting.<br>7. They will undertake work that has direct relevance to and/or will make contributions to the PhD Research Project. Professional development which increases PhD Candidates' understanding of industry is also acceptable.<br>8. The amount and method (online, physical co-location and/or remotely) of time spent within the industry setting will be agreed by all parties prior to commencement. |
| **Industry Researcher PhD** | **PhD Candidates**<br>1. Industry professionals who are supported by their employers to undertake PhD Research Projects in partnership with a university.<br>**Industry Partners**<br>2. Support employees to undertake PhD study and agree that the employee's full salary and benefits be maintained for the Program duration.<br>**Funding and Support**<br>3. PhD Candidate will retain their full salary and benefits while undertaking PhD study.<br>4. Industry Partners will receive a subsidy of $47,572 per annum (indexed as per section 4.21) for up to four years.<br>5. Participating Universities will receive $11,892 per annum (indexed as per section 4.21) for up to four years.<br>**Embedment of PhD Candidates**<br>6. Industry Researcher PhD Candidates are required to spend between 20 per cent (FTE) and 50 per cent (FTE) embedded in the Participating University's setting.<br>7. The amount and method (online, physical co-location or remotely) of time spent within the university setting will be agreed by all parties prior to commencement. |

# Attachment C – Definitions

| Term | Definition |
|---|---|
| Australian Business Number (ABN) | is a unique 11-digit number that identifies businesses to the Government and community. An ABN is issued by the Australian Business Register which is operated by the Australian Tax Office (ATO). |
| Australian Company Number (ACN) | is a unique 9-digit identifier given by the Australian Securities and Investments Commission (ASIC) to a company upon registration under Australia's *Corporations Act 2001*. |
| Applicant | means a person who makes a formal application for the National Industry PhD Program. |
| Application | means a formal proposal to be considered under the National Industry PhD Program. |
| AQF | means the Australian Qualifications Framework Second Edition January 2013. |
| Body Corporate | means a person, association or group of persons legally incorporated in a corporation. |
| the Department | means the Commonwealth Department of Education. |
| Domestic PhD Candidate | means a person who is:<br><br>a) an Australian citizen;<br>b) a New Zealand citizen (or dual citizenship holders of either Australia or New Zealand);<br>c) an Australian permanent resident; or<br>d) an Australian permanent humanitarian visa holder. |
| Embedment | means PhD Candidates undertaking work concerning research into, or investigation relevant to their PhD Research Project. The amount of time spent within the industry and university settings will be agreed by the Participating University, Industry Partner and PhD Candidate. The undertakings may take place remotely, online and in physical co-location, as appropriate. |
| Equivalent RTP Stipend/Scholarship | means a stipend scholarship provided to a PhD Candidate with the same duration and stipend rate as that received by an RTP stipend scholarship recipient at the base RTP stipend rate. |
| Independent Assessment Panel (IAP) | means the body established to assess eligible applications where the number of applications received in a round exceeds the number of places available. |

| | |
|---|---|
| Industry Advisor | means a person appointed by the Industry Partner to support the PhD Research Project as agreed with the Participating University. |
| Industry Contributions | means support (such as money or time) provided by an Industry Partner. |
| Industry Partner | means a single or multiple businesses or companies that will partner with a university and a PhD candidate to undertake a PhD Research Project. |
| Industry PhD | means a research project with an industry application undertaken by a doctoral candidate under appropriate academic and industry supervision. |
| Industry Supervisor | means a person who works for an Industry Partner and meets the appropriate PhD supervisor requirements as specified by the Participating University. |
| Intellectual Property (IP) | means any rights in any copyright work (including any work or item created in the future), invention (whether or not patent protection has been sought), design, circuit layout, new plant variety, trademark, know-how or trade secret |
| Lead University | means a Participating University in a consortium that is responsible for submitting an application for the Program, who will be the main point of contact for an application and, if the application is successful, will be responsible for receiving funding under the Program. |
| Kick-off Meeting | means the meeting to be convened by the Service Provider between all parties that establishes the formal commencement date in the Program. |
| Participating University | means a single or multiple universities that participate in the Program and must be listed as a higher education provider under section 16-15 (Table A providers) or section 16-20 (Table B providers) in the *Higher Education Support Act 2003.* |
| Part-Time PhD Candidate | means a PhD Candidate who undertakes less than 75 per cent of an equivalent full-time student study load in the period for which RTP Stipend (or equivalent scholarship) support is received. |
| PhD Candidate | means a student enrolled and undertaking a Level 10 Doctoral Degree (Research) or Doctoral Degree (Professional) qualification as described in the AQF. |
| PhD Research Project | means a single or multiple research projects that are suitable for PhD Candidates to undertake with a potential industry application. |
| PhD Supervisor | means a person qualified to supervise a PhD research project as determined by a university participating in the program. |

| | |
|---|---|
| Research and Development (R&D) activities | means 'creative and systematic work undertaken to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge' as defined by the *Frascati Manual 2015* maintained by the Organisation for Economic Cooperation and Development. |
| Research Training Program (RTP) | provides block grants to higher education providers to support students undertaking research doctorate and research master's degrees. |
| RTP Fees Offset | is a type of RTP Scholarship to assist with course fees that would otherwise be payable by a higher degree by research (HDR) student. |
| RTP Stipend | is a type of RTP Scholarship provided to assist students with general living costs. |
| Service Provider | means an organisation contracted by the Department to administer the National Industry PhD Program. |
| Stipend Top-up | is an additional payment to assist PhD Candidates with general living costs. |

# Attachment D – Process overview

## Semester 1 commencement

| July - August | August - September | October - November | November - January | January - June |
|---|---|---|---|---|
| **Applications open**<br><br>Round opens within first 2 weeks in July.<br><br>Open for six weeks.<br><br>Universities are required to submit applications. | **Applications assessed**<br><br>Eligibility checks and independent assessment of applications conducted. | **Applicants notified.**<br><br>Successful and unsuccessful applicants notified of outcomes. | **Preparing for project commencement**<br><br>PhD candidates identified and enrolled.<br><br>Collaborative agreement finalised.<br><br>Kick-off Meeting held. | **PhD candidate commences**<br><br>Can commence from 1 January. |

## Semester 2 commencement

| February - March | March - April | May - June | June - July | July - December |
|---|---|---|---|---|
| **Applications open**<br><br>Round opens within first 2 weeks in February.<br><br>Open for six weeks.<br><br>Universities are required to submit applications. | **Applications assessed**<br><br>Eligibility checks and independent assessment of applications conducted. | **Applicants notified.**<br><br>Successful and unsuccessful applicants notified of outcomes. | **Preparing for project commencement**<br><br>PhD candidates identified and enrolled.<br><br>Collaborative agreement finalised.<br><br>Kick-off Meeting held. | **PhD candidate commences**<br><br>Can commence from 1 July. |