



Australian Government  
Cotton Research and  
Development Corporation

# Researcher's Handbook 2014



June 2014



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CRDC is a partnership between the Australian Government and Australia's cotton farmers. Investments in R&D are made through reference to the Strategic R&D Plan and Annual Operating Plan.

Both Plans promote the mission of CRDC:

***Investing in research, development and extension (RD&E) for the world-leading Australian cotton industry***

This handbook is CRDC's comprehensive guide to the Australian cotton industry's R&D investment funding and how CRDC administers this process for its stakeholders.

### CRDC R&D Project Administration

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## Introduction



A key driver for the success of the Australian cotton industry is the investment in quality research and development (R&D) together with effective adoption of research results. Through the Cotton Research & Development Corporation (CRDC), the Australian cotton industry and Australian Government strategically invests in a comprehensive research program which is seeking ambitious outcomes that enhance the long term environmental, economic and social sustainability of the cotton industry in Australia. In this environment cotton researchers benefit from being involved in a progressive, dynamic and innovative industry where growers are noted for their willingness to adopt the outcomes of research. Growers, through the industry's peak body, Cotton Australia, are integrally involved in the Corporation's strategic planning and advisory panels drawn from Cotton Australia assess research proposals. Grower involvement in the R&D investment process ensures a demand for knowledge, tools and technology innovations developed by researchers in R&D projects. Collaboration and partnership in research is also fundamental to adding value to the total research investment.

This is a pivotal time for cotton research. With a resurgence in cotton production comes both a responsibility and opportunity to form a new, larger and equally successful model for collaboration. If you are interested in becoming, or are already part of the Australian cotton research effort I urge you to pay close attention to the advice given throughout this publication, and familiarise yourself with the cotton industry, its research priorities and our IP policy and procedures. Use this information to evaluate where your research proposal can fit into our plan, and talk to researchers and industry personnel working in your area.

Details of how CRDC invests in long-term R&D, and our strategic research priorities, are found in the CRDC 2013–2018 Strategic R&D Plan (and summarised within this Researchers' Handbook). This Plan, available from our website ([www.crdc.com.au](http://www.crdc.com.au)) outlines the five key program areas that CRDC is investing in for the 2013–18 period: farmers, industry, customers, people and performance. We encourage you to read the Strategic R&D Plan and talk to our team of R&D Managers to seek advice on how your proposal fits within this research priorities. We wish you success in your research, and look forward to working with you to help enhance the performance of the Australian cotton industry and its community.

**Bruce Finney**  
Executive Director

## About cotton industry R&D investment and CRDC

Based in Narrabri NSW, the heart of one of Australia's major cotton-growing areas, the Cotton Research and Development Corporation (CRDC) is part of the Australian cotton landscape.

CRDC began operations on 1 October, 1990 under the Primary Industries and Energy Research and Development (PIERD) Act 1989. CRDC is the major investor in publicly-funded cotton research and development in Australia. The funds researchers draw upon in their research projects are derived by CRDC from two principal sources: are a levy on cotton production (as detailed in the PIERD Act) of \$2.25 per bale, and a matching contribution from the Australian Government (of up to 0.5 percent of the gross value of cotton immediately post farm gate.) Other main revenue streams are through the royalties paid for technologies developed through CRDC's R&D investments.

### The industry's peak body, Cotton Australia

Cotton Australia is the cotton industry's peak body, recognised by the Australian Government under the PIERD Act. Both the Government and Cotton Australia are stakeholders of CRDC. Cotton

Australia is engaged with many of the R&D investments of CRDC and has as its stakeholders: cotton producers, regional cotton grower associations together with cotton merchants, classers and cotton ginners.

Cotton Australia is the grower body to which CRDC is accountable under Australian Government legislation and therefore has input into the direction and focus of the research program funded by CRDC. Strategically, its purpose is 'to advance the interests of the Australia cotton growing industry'.

Cotton Australia seeks the following outcomes from R&D investments for the industry:

1. Invest in the skills, strengths and occupational health and safety of the human resource in the cotton industry and its communities;
2. Improve the sustainability of the cotton industry and its catchments;
3. Improve the profitability of the cotton industry;
4. Create and support a strong, focused and committed research program.



*The CRDC Strategic R&D Plan 2013-18 is the key document researchers should consult in order to ensure proposals are geared to meeting both industry and government research priorities.*

## Government Priorities

CRDC is accountable to the Australian Government through the Minister for Agriculture. Government communicates its expectations of CRDC through Ministerial direction, enunciation of policy, administration of the PIERD Act and the National and Rural Research Priorities.

In May 2012, the government provided Ministerial guidance on RD&E priorities including climate preparedness, water use and carbon. In July 2012, the government released the Rural Research and Development Policy Statement, outlining its commitment to world-class rural RD&E in partnership with industry as well as outlining changes to improve the effectiveness of the system.

### National Research & National Rural Research Priorities:

#### National:

- An environmentally sustainable Australia
- Promoting and maintaining good health
- Frontier technologies for building and transforming Australian industries
- Safeguarding Australia

#### Rural:

- Productivity and adding value

- Supply chain and markets
- Natural resource management
- Climate variability and climate change
- Biosecurity

## Vision 2029—the cotton industry looks forward

Industry sentiment and vision is implicit in the R&D investment decisions that CRDC takes. In the years leading up to 2009, cotton was facing many challenges and the industry collectively recognised that it needed to find a way past the current major challenges to create a preferred future.

Hence the Vision 2029 statement was developed, setting a path towards the future for the industry. The vision recognises that challenges can be overcome through a combination of repositioning the industry in the global marketplace while achieving superior industry performance underpinned by science, technology and the passion and innovative nature of people within the industry.

This statement outlines the shared view of where the industry should head and what measures of success apply - involving every link in the industry from seed and chemical distributors, growers, consultants and researchers, to pickers, truckers, ginners, classers, merchants, spinners and brand owners.

Having a shared vision means it is now possible for the industry to identify our future challenges and capitalise on opportunities. Most importantly, we can better align our thinking, improve our planning and work collectively.

### The Vision 2029 Statement

Towards 2029, the Australian cotton industry will be:



*Australian Cotton • Carefully Grown • Naturally World's Best*

- **Differentiated** - world leading supplier of an elite quality cotton that is highly sought in premium market segments
- **Responsible** - producer and supplier of the most environmentally and socially responsible cotton on the globe
- **Tough** - resilient and equipped for future challenges
- **Successful** - exciting new levels of performance that transform productivity and profitability of every sector of the industry
- **Respected** - an industry recognised and valued by the wider community for its contribution to fibre and food needs of the world
- **Capable** - an industry that retains, attracts and develops highly capable people.



## CRDC direction and commitment

### Vision

A globally competitive and responsible cotton industry

### Mission

Investing in RD&E for the world-leading Australian cotton industry

### Purpose

Enhancing the performance of the Australian cotton industry and community through investing in research and development and its application.

### Outcome

Adoption of innovation that leads to increased productivity, competitiveness and environmental sustainability through investment in research and development that benefits the Australia cotton industry and the wider community.

### Our background

CRDC was established in 1990 under the Primary Industries and Energy Research and Development (PIERD) Act 1989, which outlines its accountability to the Australian Government and to the cotton industry through Cotton Australia.

CRDC invests in and manages a portfolio of research, development and extension projects that seek to enhance the environmental, social and economic values associated with cotton production systems and to increase benefit to cotton industry participants, regional communities and the Australian people.

CRDC funds and coordinates the development of technical and non-technical documents, guides and other information tools and coordinates workshops, seminars and field days for a range of purposes including research review and progression, information sharing or technology transfer to industry.

CRDC produces a range of publications about corporate activities and operations and to disseminate research outcomes. It acts as a formal and informal information source for stakeholders and client groups (facilitated by its location in a major cotton growing centre), through general industry media activities and the Corporation's website, [www.crdc.com.au](http://www.crdc.com.au).

CRDC researchers are actively involved in the dissemination of research results, working through a range of mechanisms such as the industry's joint extension team, CottonInfo, supported by three joint venture partners: CRDC, Cotton Australia and Cotton Seed Distributors.

### Our strategic R&D research priorities

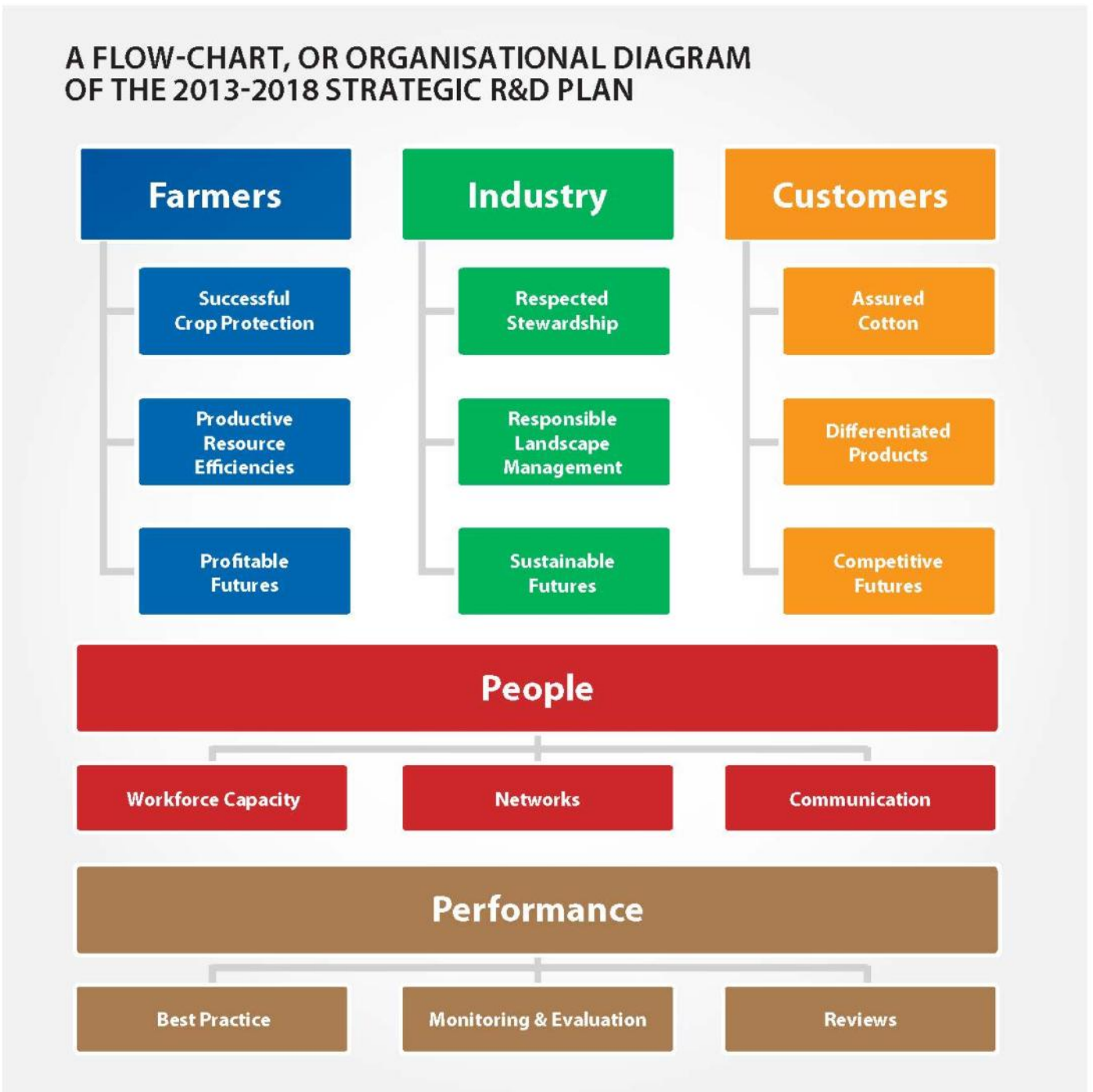




## The CRDC Strategic R&D Plan 2013-2018

The Australian cotton industry strategically invests in a comprehensive research program which seeks ambitious outcomes that enhance the long term environmental, economic and social sustainability of the cotton industry in Australia. In the CRDC Strategic R&D Plan 2013-2018, the industry's RD&E priorities have been grouped into five programs: farmers, industry, customers, people and performance (as outlined in the below table).

Table 1





## Applying for CRDC R&D investment grants

### CRDC R&D Investment Team Responsibilities

CRDC staff are available to assist applicants with all aspects of the submission process. Below is a description of staff program responsibilities. The first point of contact is the Corporation's Project Administration team. Do not hesitate to call CRDC if you have any queries. If you know the specific research areas you want to discuss, ask for the appropriate person as detailed below.

Key Areas of Investment	CRDC R&D Manager
Farmers	Susan Maas, Jane Trindall and Allan Williams
Industry	Susan Maas, Jane Trindall and Allan Williams
Customers	Allan Williams
People	Ian Taylor
Performance	Ian Taylor

### Tips for success

Applicants should be aware that both Cotton Australia and CRDC assess research proposals against a range of criteria.

Applications for investment funding which do not address the criteria will not succeed.

When developing a submission, keep the following points and questions in mind.

- How will your research fit/complement/add to current or prior R&D? Is it novel R&D?
- How will your research fit in to CRDC Strategic R&D Plan 2013-2018, and what measurements could be used to assess the progress and outcomes of the proposed research?
- What are the expected outcomes of the proposed project? In essence, applicants should show why their proposal represents a sound investment for CRDC's stakeholders?
- Is the research potentially of real benefit to the Australian cotton industry and the community?
- Is the project well focused and likely to succeed?
- Is there potential for the commercialisation of outputs, and if so, how can this best be put into effect? Or are the outputs more efficiently and effectively exploited by encouraging rapid and free adoption by the industry or the community?
- Where expected outcomes will require adoption by the industry or community to achieve the maximum benefit, what approach is planned to encourage this?
- Are the priority objectives established by Government, the Corporation and the industry fully addressed – including industry sustainability and flow on benefits to regional development and the national economy and public good?

### Who may apply?

Any individual or organisation with an ABN may apply (see definition page 16). CRDC also welcomes applications from international research providers. Students must have residency during the project funding period.

Applicants will need to demonstrate the ability to undertake research in a rigorous fashion and to critically evaluate and fully report research findings, either individually or in collaboration with others.

CRDC also invests in development and delivery activities including training, travel to relevant research or industry related conferences or activities, and capital items. Investment will only occur where applicants clearly demonstrate the benefits to industry of their proposal.

### Valuing in-kind

By CRDC investing with public research providers, it recognises their commitment to shared strategic outcomes and the co-investment they make through in-kind contributions of personnel and infrastructure.

In doing so CRDC recognises in-kind contributions that relate to the specific research project that can be justified in a transparent manner. As such, CRDC does not provide funding for public research provider overheads.

### Who is working on the project?

CRDC requires researchers and research providers to warrant that the time allocation for staff commitment to projects is accurate and that CRDC is consulted on any changes to project staffing should they occur.

### Who should receive the primary benefits of the research?

CRDC expects primary benefits to flow to the cotton industry or the Australian community. If however the principal beneficiary of the research would be the individual or company, other more appropriate funding avenues exist in those circumstances. Visit the website of the



Australian Government Department of Agriculture Fisheries and Forestry (DAFF) at [www.daff.gov.au](http://www.daff.gov.au) for more information on Government grants or the Federal Government grants website at [www.grantslink.gov.au](http://www.grantslink.gov.au).

### Completing applications from within an organisation

Applications should be completed in the name of that organisation and through that organisation. For example, applications from students for Postgraduate research should be submitted via the research and scholarships office or the appropriate body within the University.

### Project Duration

Typically, investment timeframe is between one and three years. It is recognised by CRDC that some areas of research require more time, and in such cases we anticipate receiving follow-up project applications. Investments that extend over a period greater than one year are conditional on the satisfactory progress of the project, as determined by CRDC.

## Submit a Preliminary Research Proposal (PRP)

### For Research, Development & Extension Projects

In this two-Stage process (see Table 2), Stage 1 involves applicants submitting a PRP for commencement in the next financial year.

The provision of any advice from CRDC with regard to PRPs does not infer preferential consideration will be given to related Full Research Proposals.

All PRP applicants are contacted at the end of August, and only successful applicants are invited to participate in Stage 2 and submit a Full Research Proposal (FRP). All FRPs are required to be lodged with CRDC by early October.

### Scholarships, Travel & Capital Investments

CRDC will also accept Full Research Proposals for the following types of investment:

- Postgraduate Scholarships
- Travel & Conference Participation
- Major Capital Item (>\$10,000)

The templates, instructions for completion and submission, and closing dates can be obtained from the CRDC website at [www.crdc.com.au](http://www.crdc.com.au).

### Scholarship Proposals

Applicants must be permanent Australian residents and should be working toward an Honours level or higher degree at an appropriate institution within Australia. Where a potential student has been identified a Scholarship FRP can be submitted. For PhD or

Masters scholarship project concepts prior to having a student identified, please complete a PRP.

Scholarships are normally awarded for research within Australia, but in special circumstances research outside Australia may be approved.

Scholarship applicants should have academic qualifications equivalent to a first degree from an Australian University or have demonstrated a high level of proficiency in research, development, teaching, or extension activities.

### Stipend

If an applicant is an Australian Postgraduate Scholar (i.e. has been successful in applying for an Australian Postgraduate Scholarship or APA), CRDC will provide a stipend top-up and additional funding for an operating budget. See Table 3 page 10.

In some circumstances scholarships may be supported by an additional grant or necessary equipment and operating costs. If completing an application for investment that is greater than the standard operating cost, please contact CRDC immediately to establish application requirements.

### Conditions

PhD and Masters Scholarships are funded by CRDC for a period of up to 2 & 3 years respectively. The onus to claim an income tax exemption is on the Scholarship recipient.

### Travel, Conference & Scientific Exchange Participation Full Research Proposals

A separate application is to be made for all travel to seminars and conferences that are not an integral part of a research project.

All requests for overseas travel investment should be submitted on the "Travel, Conference & Scientific Exchange Participation" application form. The researcher attending should indicate whether a paper is being presented and if this was by invitation, or by his or her own offer.

### Major Capital Items Full Research Proposals

CRDC occasionally considers requests for capital investment assistance. A "Major Capital Item" application form must be used to apply for the purchase of capital items greater than \$10,000 in value.

Unless otherwise directed in writing by CRDC, the Research Provider will own all Major Capital Items and will, at all times, be carried at the risk of the Research Provider.

When preparing a Major Capital Item application, please ensure costing estimates are well researched.

Evidence of quotes and information about the capital item should be appended to the request.



## Industry evaluation

The Evaluation process for both the PRP and FRP involves cotton industry consultation - a process managed by CRDC. During this process, feedback from specialist panels brought together by Cotton Australia undertake their own independent appraisal of PRPs. This feedback is aggregated by Cotton Australia and submitted to CRDC Management as industry's contribution to preliminary investment decisions. During this time CRDC may also seek further external assistance to assess research proposals where warranted.

## Out Of Session Investment

In some situations, investment applications will be considered outside the annual R&D Procurement Round. This is particularly the case for CRDC-initiated research. Such applications should be submitted using the appropriate FRP template. Out of session FRPs will be considered on a case by case basis. Please contact the Project Administration team or a member of the CRDC Research Team regarding instructions for completion and submission of out of session FRPs.

PLEASE NOTE: Out-of-session investment applications must be of importance to the industry or of an urgent nature to warrant consideration ahead of the next competitive round of applications. Any application that does not warrant urgent attention is referred to the next competitive round.

## CRDC commitment to invest

Following a decision by CRDC to commit to investing in a FRP, several processes come into play before a project can officially commence. CRDC will provide preliminary advice to the Research Provider concerning the FRP approval decision, which could also include:

- a different budget to what was requested;
- a request for revised objectives or project detail;
- a request for provision of additional Intellectual Property information;
- funding is subject to Ministerial approval of CRDC's Annual Operating Plan.

Table 2 **The 10 steps for the cotton industry's annual 2-stage R&D procurement round**

<b>STAGE ONE</b>		
<b>Step 1</b>	Research proposals invited for the annual R&D Procurement Round of cotton industry R&D investments. Advertised nationally, details on CRDC website ( <a href="http://www.crdc.com.au">www.crdc.com.au</a> ). Researchers Handbook published.	June 3
<b>Step 2</b>	<b>Preliminary Research Proposal (PRP) for:</b> <ul style="list-style-type: none"> <li>• Research, Development &amp; Extension</li> <li>• Scholarships</li> </ul> Submit a Full Research Proposal for: <ul style="list-style-type: none"> <li>• Travel</li> <li>• Major Capital Items</li> </ul> PRP CLOSSES	June 30
<b>Step 3</b>	All PRPs are reviewed by the industry Panels and CRDC R&D Program Management	Early July
<b>Step 4</b>	Results of industry's review are submitted to CRDC	Early August
<b>STAGE TWO</b>		
<b>Step 5</b>	Advice to successful and non-successful applicants Successful applicants are invited to complete <b>Full Research Proposal (FRPs)</b>	End of August
<b>Step 6</b>	FRP CLOSSES	October 3
<b>Step 7</b>	CRDC evaluates FRPs for recommendation for investment	October to January
<b>Step 8</b>	Successful and non-successful applicants advised	Early March
<b>Step 9</b>	Contracts are developed and issued	March to June
<b>Step 10</b>	Projects commence	July 1



Table 3

Scholarship		
The current per annum rates for Postgraduate and research based Honours Scholarship stipends offered by CRDC to successful candidates, are:-		
PhD 3 years full time	Up to \$30,000 p.a stipend	Up to \$6,000 p.a operating budget
Masters 2 years full time	Up to \$30,000 p.a stipend	Up to \$2,500 p.a operating budget
Research-based Honours	CRDC support considered on a case by case basis.	

This process will also include discussions and finalisation on any IP ownership. Applicants will attend to these conditions in consultation with CRDC, and in all cases, shall be completed in advance of final contractual arrangements between the parties.

### Contracts

Finalisation of contractual documentation includes the following stages and considerations:

- A revised FRP addressing the issues outlined above, if required;
- Completion and signing of the Schedule 1 – Form of Approval including negotiation of Ownership of IP and any Third Party Agreements;
- Completion of Schedule 2 – IP Register by Research Provider;
- Completion and signing of the Schedule 3 – IP Operating Principles by all project team members.

### Minister’s approval of the Annual Operating Plan (AOP)

Project investments in the annual round are approved by the CRDC Board and are then submitted to the Minister of Agriculture, Fisheries & Forestry for approval as part of the Corporation’s Annual Operating Plan (AOP).

Upon Ministerial approval (normally in June each year), the Deed’s finalised Schedule 1 Form of Approval and its attachments are sent out to each Research Provider Administrator for signing. CRDC is not liable for any research expenditure incurred before contracts are signed.

### Unsuccessful Applications

Notification of unsuccessful project applications will be forwarded by CRDC to the nominated Administrator.

### Contractual obligations following commencement

If successful, the Research Provider will be required to enter into a contractual agreement which has obligations including but not limited to:

- IP ownership and exploitation thereof

- Acknowledgment of CRDC’s Intellectual Property Operating Principles
- Reporting against milestones, outputs and outcomes
- Financial accountability

## The seven principles of IP management CRDC Intellectual Property (IP) Policy

CRDC intellectual property (IP) management policies aim to facilitate efficient and effective development and adoption of R&D results to achieve maximum benefits to the cotton industry. With a focus on the rapid adoption of R&D results, CRDC strategies relating to intellectual property ownership and technology commercialisation are determined on an individual project basis following consultation with research providers.

### Project-level IP register

An IP register is established for each project application. It is vital that all background IP brought into a project and any new IP proposed to be developed throughout a project (Project IP) be reported to CRDC. In the majority of cases the research outcomes from CRDC investment will result in technical knowledge rather than the creation of new technologies that require specific IP protection and commercialisation. To this end, an adoption pathway based on grower engagement and presentation of outcomes in a ‘grower- ready’ form is paramount.

In a small number of cases where projects do have significant, identifiable Background IP and potential Project IP, a more detailed analysis, valuation and risk assessment will be conducted by CRDC and an IP position negotiated with the research provider(s). The Corporation’s seven guiding principles for IP management are listed as follows.

1. IP Management is integral to RD&E investment decisions:
  - a. CRDC will seek to manage the IP identified in research projects in such a way as to maximize the benefit to the cotton industry, which will include an assessment of the proposed adoption pathway for each relevant project.
2. IP Management is a means to an end, not an end in itself:
  - a. IP management is the process used to identify and establish rights in IP, appropriately protecting the IP and thereafter to optimize the benefits from IP through exploitation.



- b. CRDC will adopt a flexible and adaptable approach to IP Management and IP Ownership, including seeking novel models of co-ownership where industry benefit is maximised.
3. IP Management facilitates decision-making on pathways for impact:
  - a. CRDC's research procurement process will require an adoption pathway proposal.
  - b. CRDC requires an exploitation plan to manage the impact of Project IP or Scholarship IP and to assess the benefits of disseminating IP through a public domain, Australian cotton industry domain, by commercialization or through further research.
4. IP ownership and use rights must be carefully considered:
  - a. Ownership and use of IP has inherent rights and obligations, including the IP owner's right to secure and benefit from the IP.
  - b. CRDC will ensure appropriate procedures are in place to safeguard the copyright and confidentiality of another party's IP.
  - c. Research providers may be required to demonstrate that they have appropriate IP policies and procedures in place to help protect CRDC IP.
5. "Freedom to operate" can minimize barriers to RD&E investment:
  - a. IP management includes the identification of existing IP rights and the establishment of freedom to operate.
  - b. CRDC reserves the right to request assignment of copy right in works created in the course of CRDC-funded research.
  - c. CRDC may reserve a right of first refusal to purchase an other party's share of any IP rights that arise from a CRDC-funded project.
6. "Rights to publish" is part of a broader IP management strategy:
  - a. CRDC acknowledges that public research organisations may require information from RD&E investments to be published as part of their purpose or to allow students to complete their thesis.
  - b. CRDC will ensure appropriate procedures are in place to manage IP owner's rights and confidential information when assessing publications.
7. IP Risk Management Strategies are essential to protect IP rights and benefits:
  - a. Each organization responsible for the generation and management of IP should develop and implement IP risk management strategies.
  - b. Effective IP risk management should strike an appropriate balance between the merits and risks of protecting and granting access rights to IP.
  - c. CRDC will apply appropriate risk management assessment to IP management.

## Adoption Pathway Proposal

Maximising the benefits from research comes not only through the creation of innovative technology and knowledge but also through careful consideration and planning of how research

outcomes will be communicated and adopted. In the context of IP, every Research Provider is obliged to provide a draft proposal ("Adoption Pathway Proposal") for the exploitation of any IP generated by a project ("Project Technology"). The Adoption Pathway Proposal must also contain a proposed Exploitation Plan, which describes the Research Provider's proposal for the exploitation of any Project Technology generated.

## Third Party IP Guidelines

Any Third Party IP (TPIP) licensed by the Research Provider must be used in a manner which is consistent with CRDC's objectives, namely to develop IP for use and benefit of the Australian Cotton Industry.

Where a project application involves use of Third Party IP (TPIP), the Research Provider is obliged to disclose the following information to CRDC in relation to the proposed use of TPIP:

- whether the proposal involves the licensing of any TPIP;
- if it does, any Background Conditions which relate to the use of the TPIP;
- detailed use of TPIP within the Adoption Pathway Proposal (including the proposed Exploitation Plan) for any Project Technology IP, including the terms agreed for the use of TPIP in relation to any exploitation Project Technology IP that incorporates TPIP.

Where no agreement for use of TPIP has been established prior to the project application being made to CRDC, CRDC should be contacted prior to the application being made.

## Reporting

Reporting requirements such as biannual progress reports, annual financial statements and a final report are detailed in the contractual agreement or Deed.

An advance copy of the Deed may be obtained by contacting CRDC. Alternatively, if your organisation has existing projects with the Corporation please contact your administrator or legal department.

### Bi-annual Progress Reports

Detailed in Table 4, CRDC requires the submission of a bi-annual Progress Report throughout the life of a project, the only exception being the last 6 months when a Final Report will be submitted.

PLEASE NOTE: For Postgraduate Scholarships, the Supervisor of the Scholarship Recipient is to provide a summary report on the progress of the Recipient as part of this bi-annual report.

### Final Report

The Research Provider must provide to CRDC 3 hard copies and one electronic copy of the Final Report for each Project within 60 Business Days after the completion date of the project. The Final Report should be emailed to the attention of the Project Administration Manager ([research@crdc.com.au](mailto:research@crdc.com.au)). CRDC provides a template which must be used for all final reports. Reporting templates, instructions



Table 4

Schedule of Reports & Payments		
Due	Purpose	When
November	Bi-annual Progress Report - Provides an update on the first 5 months of the project in the financial year. <i>Basis of project review and approval for continuing investment allocation.</i>	Yr 1, 2 & 3
May	Bi-annual Progress Report for the Financial Year	Yr 1 & 2
Quarterly	Milestone payments, quarterly payments	Upon receipt of milestone reports (refer to Table 5 for further detail).
40 business days	Financial reporting (ie Statement of Expenditure & Receipts)	After the end of each financial year OR the ceasing of a project.
	Surplus funds at the end of a project	Invoiced by CRDC to researcher's project administrator.
60 days	Travel Report	60 days after travel or conference end
60 business days	Final Report and Final IP Schedule	Yr 3 OR 60 business days after the ceasing of a project.

and dates for submission can be found on the CRDC website.

Final Reports will be published on the CRDC website unless deemed to be Commercial In-Confidence or containing IP.

#### The new Metadata system for keywords

CRDC has adopted a consistent system for capturing keywords and other important data about the information contained in final reports. This important change is being implemented from 2012 and it ensures all work presented by researchers in final reports can be efficiently stored and readily discovered. Each final report presented to CRDC is to be accompanied by a completed metadata file. The CRDC system for metadata capture is compliant with current Government guidelines and requirements (<http://www.w3.org/TR/WCAG/>).

PLEASE NOTE: For Postgraduate Scholarships, postgraduates must email a copy of their Plain English Summary when they submit their Thesis for examination. Once examined & accepted, a bound copy of the thesis is to be provided to CRDC together with an electronic copy and the metadata file.

#### Travel Report

Reporting required for Travel grants is dependent on the nature of the Travel. CRDC may require a comprehensive report which will be communicated to the applicant at the time of investment approval. In most cases, a report reviewing travel & conference participation is due within 60 days after completing the travel &/or conference.

#### Major Capital Item Report

A short Final Report is required following any CRDC capital investment contribution, detailing the use, significance, effectiveness and confirmation of monies spent on the capital item.

#### Financial reporting obligations

CRDC requires the provision of a Financial Report (ie Statement of Expenditure & Receipts) for each project within 40 business days after the end of each Financial Year. Please contact CRDC Project Administration for a copy of the current S.E.R. template. This report must be authorised by an Independent (of the project) Accounting Officer.

Clause 4.3.2 of the CRDC Research Deed reads as follows:-

“The Financial Report must be in the format provided by CRDC. This report includes details in relation to the Project noting all receipts, income, outgoings; all expenditure received, derived or incurred; any transfers between Heads of Expenditure; and any surplus Funding being Funding that has not been expended, in each Financial Year, in accordance with this Deed.”

#### Schedule of payments to researchers

CRDC makes four investment payments in a financial year for a research project, one every three months.

Table 5 provides the detail of when CRDC expects to receive a tax invoice from Research Providers (mid-quarter) and when CRDC will make payment for that quarter.

PLEASE NOTE: Milestone payments are not due (not paid) until CRDC is in receipt of approved milestone reports from the researcher. CRDC shall withhold final payments in a project until the Final Report, Final Sched 2: IP Register, Final Statement of Expenditure and Receipts and the Metadata file, or a satisfactory equivalent as determined by CRDC, has been received and reviewed by CRDC.



Table 5

Project Payment Schedule				
	Qtr 1 (Jul-Sept)	Qtr 2 (Oct-Dec)	Qtr 3 (Jan-Mar)	Qtr 4 (Apr-Jun)
Year 1	Signing of contract documents	Not tied to a report	November Progress Report (received & approved by CRDC)	Not tied to a report
Year 2	* May Progress Report (received & approved by CRDC)  * IP Schedule updated (signed and approved by CRDDC)  * Financial Statement (SER) for Yr 1 of project	Not tied to a report	November Progress Report (received & approved by CRDC)	Not tied to a report
Year 3	* May Progress Report (received & approved by CRDC)  * IP Schedule updated (signed and approved by CRDC)  * Financial Statement (SER) for Yr 2 of project	Not tied to a report	November Progress Report (received & approved by CRDC)	* Final Report (received & approved by CRDC)  * Final IP Schedule (signed & approved by CRDC)  * Final Financial Statement (SER) for life of project - any underspend will be refunded to CRDC prior to the final qtr being paid.

### Goods and Services Tax

Budgeted expenditure is to be exclusive of GST.

If the supply by the Research Provider is a taxable supply pursuant to GST Law, the Research Provider will increase the original amount approved by the GST amount when invoicing CRDC.

### Publications

Publication includes the distribution by any means and media that will be distributed to and intercepted by a targeted audience.

Typically this may include, but not limited to media releases, journal articles, conference papers, research posters, social and online media, video interviews, dedicated publications and brochures, e-newsletters, monograph or internet posting.

It is important to be familiar with “Clause 14: Publication” of the CRDC Deed. Excerpts of this Deed include:

“14.1 The Research Provider must not Publish any of the Project Technology or Scholarship Technology during the Term or for a period of 1 year following completion of the relevant Project or Scholarship or termination of the relevant Agreement (or any longer period agreed under clause 9.16.1(b)) except with the written consent of CRDC unless:

14.1.1 the Project has been completed and the Final Report has been submitted to the CRDC and approved by the CRDC;

14.1.2 the CRDC and the Research Provider have

agreed in writing that there is no Commercialisable Project Technology or Scholarship Technology; and

14.1.3 the CRDC has approved the release of the Project Technology or Scholarship Technology into the public domain.”

“14.2 The CRDC’s written approval to any request for Publication pursuant to clause 14.1 must not be unreasonably withheld and may only be withheld on the grounds specified in clause 14.5. The CRDC must use its best endeavours to provide its consent (or otherwise) within 10 business days of the receipt of the Research Provider’s request in accordance with clause 14.3.”

“14.3 Any request made to the CRDC for consent to Publish details of the Project Technology or Scholarship Technology must contain:

14.3.1 a copy of the material containing the Project Technology or Scholarship Technology in the form in which it is proposed to be Published; and

14.3.2 details of how, where and when the material provided in accordance with clause 14.3.1 is proposed to be Published.”

“14.4 The Research Provider must:

14.4.1 acknowledge the CRDC as a funding source on the relevant Publication in the form set out in schedule 6 to this Deed;



- 14.4.2 where appropriate, include a disclaimer in the form set out in Schedule 6 to this Deed;
- 14.4.3 subject to this clause 14 and clauses 15 and 16, make any changes to the way the Project Technology or Scholarship Technology is proposed to be Published as reasonably requested by the CRDC; and
- 14.4.4 provide to the CRDC one electronic copy of the proposed Publication in high resolution, colour PDF format.”
- “14.5 The CRDC may withhold its consent to the proposed Publication of any material by the Research Provider  
  
Information;
- 14.5.2 may prejudice the protection of the Project Technology or Scholarship Technology;
- 14.5.3 may prejudice the Commercialisation of the Project Technology or Scholarship Technology;
- 14.5.4 has not been subject to peer review and, in the CRDC’s reasonable opinion, requires peer review; or
- 14.5.5 following peer review, the CRDC considers on reasonable grounds that the proposed Publication is not considered acceptable for publication in a recognized journal.”
- “14.6 If the CRDC withholds its consent to Publication pursuant to clause 14.5, the Research Provider may submit a revised proposal for Publication in accordance with clause 14.3 or refer the matter to dispute resolution pursuant to clause 25.”

## Project Variations

Before continuing with any variations to an existing contract, it is the Research Provider’s obligation to notify CRDC and gain its written approval for any proposed changes to objectives; milestones; team members; third party resources; cease date or other material detail or condition referred to a project.

The Researcher is to submit a revised FRP/Scholarship Application with the bi-annual Progress Report IF the researcher is aware of the need for a variation to their CRDC-funded project.

The report and the requested variation will then be reviewed by the CRDC R&D Manager.

## IP Ownership Changes

CRDC has developed an IP Register for each project it invests in. This Register records (i) the IP rights proposed to be used; (ii) the IP rights expected to be used in the conduct of the project; and (iii) any IP created by the project. See pages 9 & 10 for additional information.

The Research Provider provides the initial IP information as part of the contractual documentation for the project (Schedule 2 of the Deed). The Research Provider also needs to regularly review this information and provide CRDC via an email to Project Administration Manager with an updated version within 20 business days of changes occurring.

CRDC will notify the Research Provider if there has been a change of ownership or usage rights to any Background IP it may have provided to a project.

## Budget Variations

Requests for budget variations must be provided in the bi-annual Progress Report (see Table 4) with justification for the request. Please submit a revised FRP/Scholarship Application Budget with this report.

## Surplus funds of a ceased project

CRDC will raise an invoice for any surplus funds at the end of a project as identified in the Financial Report. Requests to utilise/transfer surplus funds to other projects at the end of the project will not be considered until the surplus funds have been returned to the Corporation.

## CRDC Strategic R&D Plan 2013-2018 Summary

The following table is provided to ensure researchers prepare proposals that comply with the CRDC Strategic R&D Plan 2013-2018.

VISION				
<i>A globally competitive and responsible cotton industry</i>				
MISSION				
<i>To invest in RD&amp;E for the world leading Australian cotton industry</i>				
OUTCOMES				
<b>Farmers</b> Cotton is profitable and consistently farmers' crop of choice	<b>Industry</b> The Australian cotton industry is the global leader in sustainable agriculture	<b>Customers</b> The Australian cotton industry captures the full value of its products	<b>People</b> Capable and connected people driving the cotton industry	<b>Performance</b> Measured performance of the Australian cotton industry and its RD&E drives continuous improvement
STRATEGIES				
<b>Successful Crop Protection</b> Cotton crops protected from pest, weed and disease threats	<b>Respected Stewardship</b> Industry protects its production technologies and its biosecurity	<b>Assured Cotton</b> The integrity and qualities of Australian cotton set global benchmarks for customers	<b>Workforce Capacity</b> A skilled, educated and progressive industry workforce	<b>Best Practice</b> World's best practice underpins the performance of the cotton industry
<b>Productive Resource Efficiencies</b> Inputs for cotton production are optimised	<b>Responsible Landscape Management</b> Industry leads in managing natural assets	<b>Differentiated Products</b> Customers recognise the differentiated value of Australian cotton products	<b>Networks</b> An industry connected by dynamic networks	<b>Monitoring &amp; Evaluation</b> Industry and RD&E performance is captured
<b>Profitable Futures</b> Innovation in cotton production	<b>Sustainable Futures</b> An industry achieving its vision	<b>Competitive Futures</b> The demand for Australian cotton products is positively transformed	<b>Communication</b> Stakeholder information needs are met	<b>Reviews</b> Continuous improvement in industry and RD&E performance

## Glossary

The following terms are used by the Corporation in its application forms or in planning and reporting processes. If a term is not listed and you require clarification, please contact the CRDC Project Administration Officer.

<b>ABN</b>	Australian Business Number. Provided by the Australian Tax Office (ATO) for Australian residents and corporations only. Consult ATO for the appropriate usage of this identifier.
<b>Aim</b>	The purpose or intention of a research project.
<b>Capital Item</b>	An item of value greater than \$10,000
<b>Commercialisation or Commercialise</b>	In relation to IP any exploitation of the IP for financial gain and the term Commercialised will have a corresponding meaning
<b>Intellectual Property 'IP'</b>	All present and future rights conferred by statute, common law or equity in or in relation to copyright, trade marks, designs, patents, circuit layouts, plant varieties, business and domain names and inventions, and other results of intellectual activity in the industrial, commercial, scientific, literary or artistic fields whether or not registrable, registered or patentable and whether or not created in Australia or elsewhere but does not include Moral Rights
<b>Milestone</b>	Progressive achievement within a research project; a marker of progress towards achieving the direct aims of a project.
<b>Out of Session</b>	An urgent request for funding that is not submitted in the annual competitive funding round.
<b>Outcome</b>	The benefit or impact of a research, development or technology transfer project or program. Can be influenced but not forced or controlled.
<b>Output technology</b>	The results or achievements of a research, development or transfer project or program. Can be influenced but not forced or controlled.
<b>Objective</b>	A goal or the detail required to meet the aims of a research project.
<b>Performance Indicator</b>	A way of measuring success towards meeting the aims of a project.
<b>Research Project</b>	Research and development project described in a Project Approval



**Australian Government**  
**Cotton Research and  
Development Corporation**

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