



# Discovery Projects Funding Rules for funding commencing in 2009

*Australian Research Council Act 2001*

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

Dated 3 October 2007

Minister for Education, Science and Training

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## Acronyms

The following acronyms are used in ARC Funding Rules.

|       |  |
|-------|--|
| AEST  | Australian Eastern Standard Time                             |
| AEDT  | Australian Eastern Daylight Saving (Summer) Time             |
| AIF   | Australia-Israel Fellowship                                  |
| AIMS  | Australian Institute of Marine Science                       |
| ANSTO | Australian Nuclear Science and Technology Organisation       |
| APA   | Australian Postgraduate Award                                |
| APAI  | Australian Postgraduate Award (Industry)                     |
| APD   | Australian Postdoctoral Fellowship                           |
| APDI  | Australian Postdoctoral Fellowship (Industry)                |
| APF   | Australian Professorial Fellowship                           |
| ARC   | Australian Research Council                                  |
| ARCIF | Australian Research Council International Fellowship         |
| ARF   | Australian Research Fellowship                               |
| AVCC  | Australian Vice-Chancellors' Committee                       |
| CE    | ARC <i>Centres of Excellence</i> and ARC <i>Centres</i>      |
| CoE   | ARC College of Experts                                       |
| CI    | Chief Investigator   |
| CRC   | Cooperative Research Centre                                  |
| CSIRO | Commonwealth Scientific and Industrial Research Organisation |
| DP    | ARC <i>Discovery Projects</i>                                |
| DSTO  | Defence Science and Technology Organisation                  |
| ECR   | Early Career Researcher                                      |
| FF    | ARC <i>Federation Fellowships</i>                            |
| GA    | Geoscience Australia   |
| GAMS  | Grant Application Management System                          |
| GST   | Goods and Services Tax                                       |
| HECS  | Higher Education Contribution Scheme                         |
| ICI   | Internationally Coordinated Initiative                       |
| IRF   | Indigenous Researcher Fellowship                             |
| LASP  | ARC <i>Learned Academies Special Projects</i>                |
| LCI   | LASP Chief Investigator                                      |
| LIEF  | ARC <i>Linkage Infrastructure, Equipment and Facilities</i>  |
| LIF   | ARC Linkage Industry Fellowship                              |
| LP    | ARC <i>Linkage Projects</i>                                  |
| LX    | ARC <i>Linkage International</i>                             |
| NCGP  | National Competitive Grants Program                          |
| NHMRC | National Health and Medical Research Council                 |
| NP    | Network Participant  |
| OI    | Overseas Investigator  |
| PI    | Partner Investigator   |

|       |   |
|-------|---|
| QEII  | Queen Elizabeth II Fellowship                                       |
| RN    | ARC <i>Research Networks</i>  |
| SPIRT | <i>Strategic Partnerships with Industry – Research and Training</i> |
| SRC   | ARC <i>Special Research Centre</i>                                  |
| SRI   | ARC <i>Special Research Initiatives</i>                             |
| SRF   | ARC Senior Research Fellowship                                      |
| UA    | Universities Australia  |
| URL   | Universal Resource Locator  |

## Key Dates

Closing time for submission of Proposals (subsection 10.4.5) – 5:00 pm (AEDT) Friday 7 March 2008

Closing time for Eligibility Rulings Requests (Section 10.1.1) – 5:00 pm (AEDT) Friday 18 January 2008

Closing time for letters requesting non-use of a potential assessor (subsection 11.2.3.3) – 5:00 pm (AEDT) Friday 7 March 2008

Dates for the award of a PhD (or having achieved equivalent status) to be eligible for *Discovery Projects* Fellowships and/or Early Career Researcher (ECR) status:

- Early Career Researcher (ECR) (subsection 8.2.1) - on or after 6 March 2003.
- Australian Postdoctoral Fellowship (APD) (subsection 8.5.4) - on or after 6 March 2005.
- Initial Australian Research Fellowship (ARF)/Queen Elizabeth II Fellowship (QEII) (subsection 8.5.5) - on or after 6 March 2000.
- Subsequent ARF/QEII candidates (subsection 8.5.5) – on or after 6 March 1995.
- Initial Australian Professorial Fellowship (APF) (subsection 8.5.6) - no restriction on date of award.
- Subsequent APF candidates (subsection 8.5.6) – no restriction on date of award.

## Contacts

The ARC deals with thousands of Proposals each year. Researchers should, therefore, direct requests for information to the Research Office within their organisation.

Where this is not possible, enquiries about the ARC DP scheme may be addressed as follows:

Postal

*Discovery Projects* Coordinator  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

Courier

*Discovery Projects* Coordinator  
Australian Research Council  
1st Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT 2609

Email: [ncgp@arc.gov.au](mailto:ncgp@arc.gov.au)

Phone: 02 6287 6600

Fax: 02 6287 6638

Web: <http://www.arc.gov.au>

## **1 Name of Funding Rules**

- 1.1.1 These Funding Rules are the Australian Research Council Discovery Projects Funding Rules for funding commencing in 2009.

## **2 Commencement**

- 2.1.1 The Funding Rules shall take effect upon registration on the Federal Register of Legislative Instruments.

## **3 Interpretation**

- 3.1.1 In these Funding Rules, unless the contrary intention appears:

**Adjunct Appointment or equivalent** means that an Eligible Organisation has a formal agreement in writing with a researcher which is publicly acknowledged and which establishes an ongoing association with the Eligible Organisation, of the nature of a conjoint, emeritus or honorary academic or visiting fellow. The ARC may seek documentary evidence of such an association if it considers it necessary.

**Administering Organisation** means an Eligible Organisation which submits a Proposal for funding under DP and which will receive and be responsible for the administration of the funding if the proposed project is approved for funding.

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

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

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

**ARC Centre** means a research centre wholly or partly funded by the ARC and includes *ARC Centres of Excellence*, *ARC Centres*, *ARC Special Research Centres* and co-funded Centres of Excellence such as the Australian Centre for Plant Functional Genomics (ACPFPG), the Australian Stem Cell Centre (ASCC) and National ICT Australia (NICTA).

**ARC Centre Fellowship** means an ARC Centre Fellowship awarded under the ARC's *Centres of Excellence* Scheme.

**ARC Fellowship** means, subject to this paragraph, a position held by a researcher where the salary is funded wholly or partly by the ARC and where the researcher has been nominated in a Proposal to hold a Fellowship. An ARC Fellowship may be awarded at a number of levels and in various ARC schemes. ARC Fellowship includes Australian Postdoctoral Fellowship (APD), Australian Research Fellowship (ARF), Queen Elizabeth II Fellowship (QEII) and Australian Professorial Fellowship (APF). The term also includes Australian Postdoctoral Fellowship (Industry) (APDI) (under the ARC *Linkage Projects* scheme), Australian Postdoctoral Fellowship (CSIRO) (under the former *APD CSIRO* scheme) and ARC Centre Fellowship (awarded under the ARC's *Centres of*

*Excellence* scheme). For the purposes of these Funding Rules, it does not include an Australian Research Council International Fellowship (ARCIF), ARC Federation Fellowship, Indigenous Researcher Fellowship (IRF) or ARC Research Cadetship-Aboriginal and Torres Strait Islander award.

**ARC's Web Site** is <http://www.arc.gov.au>.

**Australian Postdoctoral Fellow** means a researcher whose salary is wholly or partly funded under an APD (under the DP scheme).

**Australian Postdoctoral Fellow (Industry)** means a researcher whose salary is wholly or partly funded under an APDI (under the LP scheme).

**Australian Professorial Fellow** means a researcher whose salary is wholly or partly funded under an APF (under the DP scheme).

**Australian Research Council International Fellow** means a researcher whose salary is wholly or partly funded under an Australian Research Council International Fellowship (under the LX scheme).

**Australian Research Fellow** means a researcher whose salary is wholly or partly funded under an ARF (under the DP scheme).

**Centre Director** means the person appointed to direct the programs of a Commonwealth-funded Research Centre.

**Chief Investigator** means a researcher who satisfies the eligibility criteria for a Chief Investigator.

**Collaborating Organisation** means an Eligible Organisation which is not the Administering Organisation but which is identified in the Proposal as a contributor to the project.

**Commonwealth** means the Commonwealth of Australia.

**Commonwealth-funded Research Centre** means a research centre substantially funded from Commonwealth competitive research funding sources and includes ARC Centres, CRCs and NHMRC Program Grants and Centres of Clinical Research Excellence. It does not include Research Networks funded by the ARC.

**Early Career Researcher (ECR)** (for the purposes of these Funding Rules) means a researcher nominated in a Proposal who satisfies the requirements for an early career researcher as specified in Section 8.2.

**Earnings** means the amount paid directly or indirectly as remuneration for work a person undertakes or services he/she performs. It includes amounts paid under employment and/or consultancy arrangements.



**ECR–Only Proposal** means a Proposal in which each nominated CI, PI and Fellowship candidate satisfies the criteria for early career researchers as specified in Section 8.2.

**Eligible Organisation** means an organisation which is eligible to apply for and receive funding under the DP Funding Rules as specified in Section 7.1.

**Federation Fellow** means a researcher whose salary is funded under the FF scheme.

**Funding Agreement** means the agreement entered into between the ARC and the Administering Organisation if the Administering Organisation's Proposal is approved for funding. This Agreement sets out the terms and conditions under which the Commonwealth is to provide funding and the Administering Organisation is to be responsible for administration of the funding and the conduct of the project.

**Funding Rules** means this document.

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

**Host Organisation** means an organisation at which a Fellow undertakes her/his research while holding an ARC Fellowship.

**Indigenous Researcher Fellow** means a researcher whose salary is wholly or partly funded under an IRF.

**Medical and Dental Research** means research and/or training which, in the opinion of the ARC, has a significant focus on clinical medical (including dental) outcomes.

**Minister** means the Minister from time to time responsible for the administration of the ARC Act (currently the Minister for Education, Science and Training), or the Minister's delegate.

**National Research Priority** means a national research priority detailed in Appendix 1.

**Partner Investigator** means a researcher who satisfies the eligibility criteria for a Partner Investigator.

**Proposal** means a request to the ARC for the provision of financial assistance for a research project.

**Queen Elizabeth II Fellow** means a researcher whose salary is wholly or partly funded under a QEII (under the DP scheme).

**Research Office** means a business unit within an organisation that is responsible for administrative contact with the ARC regarding Proposals and research projects.

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

## **4 Introduction**

### **4.1 Overview**

- 4.1.1 This document sets out the funding rules for DP, a scheme funded under the Australian Research Council's National Competitive Grants Program (NCGP), which comply with the requirements of the ARC Act.
- 4.1.2 All parties involved in Proposals should read and understand the Funding Rules and the ARC's standard Funding Agreement (which is available at the ARC's Web Site) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.
- 4.1.3 These Funding Rules are current as at October 2007 and have been prepared in accordance with the requirements of the ARC Act in force then. These Funding Rules are subject to change at any time, for reasons including any subsequent amendment to, replacement of or supplementation of the ARC Act.
- 4.1.4 Funding under DP is provided to Administering Organisations, not to researchers. That is, the ARC will accept a Proposal only from an Eligible Organisation and not from any individual researcher or researchers.
- 4.1.5 However, if, in the opinion of the ARC, any researcher nominated in a Proposal as a CI, PI or ARC Fellow has caused or has significantly contributed to the failure of an organisation to meet its obligations under any current or previous funding agreement with the ARC, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that researcher.

### **4.2 NCGP Objectives**

- 4.2.1 The ARC is an Australian Government statutory authority established under the ARC Act. The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer funding to support research programs, and to provide policy advice related to research.
- 4.2.2 The ARC has established a range of competitive funding schemes for the support of research and research training under the framework of the NCGP. A list of current NCGP funding schemes is available on the ARC's Web Site.
- 4.2.3 By the operation of a range of funding schemes under the NCGP, the ARC aims to:
- a. maintain and build on existing research and research training;
  - b. build the scale and focus of research and research training;
  - c. encourage cross-disciplinary approaches to research and research training;
  - d. facilitate collaborative approaches to research and research training; and

- e. support research and research training of national benefit, including in the following National Research Priorities:
  - i. An Environmentally Sustainable Australia;
  - ii. Promoting and Maintaining Good Health;
  - iii. Frontier Technologies for Building and Transforming Australian Industries; and
  - iv. Safeguarding Australia.

4.2.4 Descriptions of these National Research Priorities and their associated Priority Goals can be found in Appendix 1, and on the ARC's Web Site.

### **4.3 Discovery Projects**

4.3.1 DP, which recognises the importance of fundamental research to the national innovation system, supports research undertaken by individual researchers or research teams.

4.3.2 The objectives of DP are to:

- a. support excellent fundamental research by individuals and teams;
- b. enhance the scale and focus of research in the National Research Priorities;
- c. expand Australia's knowledge base and research capability;
- d. foster the international competitiveness of Australian research; and
- e. encourage research and research training in high-quality research environments.

4.3.3 DP provides opportunities for a continuum of activities in order to meet the varied needs of researchers in different disciplines and at different stages of their careers.

### **4.4 Fundamental principles and requirements**

#### **4.4.1 Ethics and Research Practices**

4.4.1.1 The National Health and Medical Research Council (NHMRC) web site, <http://www.nhmrc.gov.au>, provides a series of publications which outline principles of ethical conduct in research. All Proposals and ARC-funded research projects must, unless otherwise approved by the ARC, conform to the principles outlined in the following and their successor documents:

- a. NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007);
- b. as applicable, the NHMRC/ARC/AVCC National Statement on Ethical Conduct in Human Research (2007); and
- c. as applicable, codes on animal research promulgated by the NHMRC.

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

#### **4.4.2 Non-duplication**

4.4.2.1 The ARC will not provide financial assistance to meet the costs of a project to the extent that those costs have been, or are likely to be, met from other Commonwealth funding schemes. The ARC reserves the right to:

- a. determine if a Proposal includes such costs and deem a notional amount for them; and
- b. recommend a reduced amount of funding for the proposed project accordingly.

4.4.2.2 If such costs are, in the opinion of the ARC, a significant portion of the costs for a proposed project, the ARC may decide to recommend that the Proposal not be funded at all.

#### **4.4.3 Conflict of interest**

4.4.3.1 All parties involved in or associated with Proposals and ARC-funded research projects are required to disclose to the ARC, and the other parties involved in the Proposal/project (including Collaboration and Partner Organisations), any conflict of interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Proposal/project. Such conflicts must be disclosed to the ARC at the time of the submission of a Proposal, and in reporting on ARC-funded research projects, and notified to the other parties as soon as practicable after the conflict of interest is identified.

4.4.3.2 If, in the opinion of the ARC, any party involved in or associated with a Proposal has failed to disclose any such conflict of interest, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that party.

4.4.3.3 If a conflict of interest exists or arises, the Administering Organisation must have established processes in place for managing the conflict of interest for the duration of the project. Such processes must comply with the NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research Practice (2007) and any relevant successor document. In the event of any inconsistency between the original and any successor document, the latter document is to apply.

#### **4.4.4 Acknowledging ARC support**

4.4.4.1 The standard Funding Agreement requires that any ARC contribution to research and other activities funded by the ARC be appropriately acknowledged. When, at any time during or after completion of a project, the researcher or any other party publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the research project, the Administering Organisation must ensure (wherever possible) that the ARC's contribution and support of the project is acknowledged in a prominent place and in an appropriate form. This acknowledgement should include the mention of the ARC as a funding body. Similar efforts should be made to acknowledge ARC support when

participating in television and radio programs, when interviewed by the print media and when otherwise speaking publicly about the project.

4.4.4.2 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC's Web Site.

#### **4.4.5 Dissemination of research outputs**

4.4.5.1 The Australian Government makes a major investment in research to support its essential role in improving the wellbeing of our society. To maximise the benefits from research, findings need to be disseminated as broadly as possible to allow access by other researchers and the wider community.

4.4.5.2 The ARC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research. Such considerations include the status and reputation of a journal or publisher, the peer review process of evaluating their research outputs, access by other stakeholders to their work, the likely impact of their work on users of research and the further dissemination and production of knowledge. Taking heed of these considerations, the ARC wants to ensure the widest possible dissemination of the research supported under its funding, in the most effective manner and at the earliest opportunity.

4.4.5.3 The ARC therefore encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository. If a researcher is not intending to deposit the data from a project in a repository within six months of the completion of the research, he/she should include the reasons in the project's Final Report. Any research outputs that have been or will be deposited in appropriate repositories should be identified in the Final Report.

## **5 Changes from last year**

5.1.1 A number of clarifications and revisions have been made in these Funding Rules for funding commencing in 2009 (the 2009 DP Funding Rules). Significant changes from the 2008 DP Funding Rules include:

- a. ARC Centre Fellowships awarded under the ARC's *Centres of Excellence* scheme are explicitly included in the definition of an ARC Fellowship (subsection 3.1.1);
- b. For the purposes of improved clarity and focus, two of the previous objectives for the scheme (subsections 1.3.2.c. and f. in the 2008 DP Funding rules) have been merged into one objective (subsection 4.3.2.e);
- c. Clarification is provided that funding is permitted for CIs and ARC Fellows and research support personnel (excluding PIs) to cover domestic and international travel associated with a project, including to foster and strengthen collaborations between researchers in Australia and overseas (subsection 6.3.2.e);
- d. The limit on the number of DP projects which previously applied to CIs who were substantially associated with Commonwealth-funded Research

Centres has been replaced by a limit of one DP project for researchers who are Specified Personnel for an ARC Centre (excluding PIs) (subsection 6.6.1.2.d);

- e. A limit of one ARC Fellowship nomination has been introduced for persons who are being nominated for an ARC Fellowship in this DP funding round (subsection 6.6.1.2.f);
- f. A Proposal may not be submitted if it is essentially the same as an eligible Proposal submitted in the DP funding round conducted in 2008 and that latter Proposal was ranked in group E (remainder of unsuccessful proposals) in that earlier round (subsection 6.6.2.2);
- g. Provision is made for APDs to be undertaken as a 75 per cent option if requested by the Fellowship candidate, with the other 25 per cent of time able to be used on non-remunerated activities (such as family or carer responsibilities) (subsection 8.5.4);
- h. A researcher who is awarded an ARF/QEII under the 100% salary plus on-costs option is not required to resign any existing continuing position he/she holds (subsection 8.5.5.7.a);
- i. A number of changes have been made to the APF eligibility requirements, including: clarification regarding when existing ARC Fellowship holders are able to be nominated for an APF and associated requirements for the relinquishment of funding associated with an existing ARC fellowship; and modification to the prerequisites for a researcher to be nominated for the 100 per cent salary support option. Support for APFs under the 100 per cent salary plus on-costs option is now more focused either on candidates who hold or have recently held an ARF, QEII or a fellowship awarded on a competitive basis which in the opinion of the ARC is of at least similar status, or who are proposing to move employment to one of the Eligible Organisations listed in Appendix 2, Item 1 (subsection 8.5.6);
- j. Section 9.2 clarifies that if the Administering Organisation or a researcher nominated as a CI, PI or ARC Fellow on a Proposal is involved in a funding request for any proposed research project (including fellowship), salary or equipment that has been approved or submitted under this or any other ARC scheme, or to any other Commonwealth funding body, the Proposal must include details of those requests;
- k. Subsection 10.4.2.1 explicitly provides that Proposals must comply strictly with the format, content and submission requirements as specified in these Funding Rules and the “DP Instructions to Applicants for funding commencing in 2009” document issued by the ARC; and
- l. Explicit provision is made for a Proposal to be ineligible if it seeks salary funding for a CI or PI (subsection 6.4.2.b) or seeks salary support for a Fellowship candidate under an option which is not available for that candidate (subsection 8.5.5.7 and 8.5.6.8).

5.1.2 The list of changes above is not comprehensive. Applicants and other parties involved in Proposals should read and understand the entire Funding Rules and standard Funding Agreement before a Proposal is submitted to the ARC.

## **6 Funding**

### **6.1 Level of funding**

- 6.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- 6.1.2 The minimum level of funding which will be provided by the ARC for a project under this DP funding round is \$20,000 per calendar year and the maximum is \$500,000 per calendar year. If a DP Proposal requests less than \$20,000 or more than \$500,000 for any calendar year, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 6.1.3 If an ARC Fellowship is requested, the Proposal should include a request for the Fellowship salary and on-costs in the budget. ARC Fellowships are funded at levels outlined in Appendix 3, Item 1.
- 6.1.4 The ARC reserves the right to recommend the levels of funding for a project at levels which may differ from those requested in the Proposal.

### **6.2 Period of funding**

- 6.2.1 Financial assistance may be payable under these Funding Rules for DP projects in respect of the financial year 2008-09 and any subsequent years to which the ARC Act applies. Funding for approved projects will commence with effect 1 January 2009, unless other arrangements are approved by the ARC.
- 6.2.2 Projects may be funded for 1 to 5 years, subject to sufficient funding being available for DP, the provisions of the ARC Act, and continued satisfactory progress of the project.
- 6.2.3 APDs may be awarded funding for 3 years or 4 years. ARFs, QEIIs, and APFs may be awarded funding for 5 years.
- 6.2.4 For the purposes of these Funding Rules, the term of a researcher's fellowship is determined based on the date on which the researcher commenced the fellowship. In the case of fellowships awarded under these Funding Rules, the commencement date will be 1 January 2009, unless the commencement has been deferred to a later date approved by the ARC.
- 6.2.5 The ARC may recommend funding for a project for a duration different from that requested in the Proposal.

### **6.3 Types of research supported**

- 6.3.1 Subject to Sections 6.4 and 6.5, DP supports all types of research, including:
- a. pure basic research which is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge;

- b. strategic basic research which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. Such research provides the broad base of knowledge necessary to solve recognised practical problems; and
- c. applied research which is original work undertaken primarily to acquire new knowledge with a specific application in view. Such research is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

6.3.2 The following project costs may be supported under DP:

- a. personnel (salaries and on-costs), including:
  - i. ARC Fellowships as outlined in Section 8.5;
  - ii. research associates, technicians and laboratory attendants;
  - iii. postgraduate stipends with an ARC contribution as specified in Appendix 3, Item 1.

but excluding those items not permitted pursuant to subsections 6.4.2.b and e;
- b. teaching relief for Chief Investigators, but only where the request is justified to the satisfaction of the ARC (see subsection 6.4.2.c.);
- c. equipment;
- d. maintenance; and
- e. the following travel costs:
  - i. domestic and international travel costs for CIs, ARC Fellows and research support personnel (excluding PIs). Funding is permitted for domestic and international travel associated with the project, including to foster and strengthen collaborations between researchers in Australia and overseas; and
  - ii. domestic travel costs for PIs visiting from overseas as part of the short-term project support permitted under subsection 6.4.2.e for these investigators. (International travel costs are not permissible for PIs.)

## 6.4 Restrictions on budget items

6.4.1 DP funds only costs which directly support a research project. The ARC may in its absolute discretion determine whether any proposed costs meet this requirement.

6.4.2 DP has restrictions on the following budget items:

- a. **Capital works and general infrastructure**

Capital works and general infrastructure costs are not funded, in whole or in part, under DP.



**b. Salaries of Chief Investigators (CIs) and Partner Investigators (PIs)**

The Commonwealth will not provide support, in whole or in part, to meet the salaries of CIs or PIs under DP. If a Proposal requests salary funding for a CI or PI, the Proposal will not be recommended or approved for funding.

**c. Teaching and Teaching Relief**

DP funding is not usually provided to fund teaching and/or teaching relief. Commonwealth funds may be used for teaching relief only if specifically approved for that purpose. The ARC may fund justified teaching relief for up to 6 months in each consecutive year. If approved, the funding contribution will be in accordance with Appendix 3, Item 3, and will be a Special Condition.

**d. Special Studies Programs**

Funds are not provided for travel or related expenses for researchers when on a Special Studies Program. However, some specified expenses may be funded for CIs, if approved by the ARC as a Special Condition, and provided that the Proposal clearly demonstrates that such expenses are not covered by a Special Studies Program, and that the research to be undertaken directly relates to the project.

**e. Research support for Partner Investigators**

Funds are not provided for PIs, apart from short-term project support for investigators visiting from overseas. Short-term project support may include support for travel within Australia for investigators visiting from overseas but excludes the cost of their travel to and from Australia.

**f. International students' fees, Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities**

Funds are not provided to pay the fees of international students or the HECS or the HELP liabilities for students.

**g. Basic facilities**

The Administering Organisation must agree to provide the following basic facilities (where relevant to the Proposal), which will not be funded under DP:

- i. accommodation (e.g. laboratory and office, suitably equipped and furnished in standard ways);
- ii. access to workshop services (e.g. machine tools and qualified technicians available to each member of staff, according to need, for research);
- iii. access to film or music editing facilities;
- iv. access to a basic library collection;
- v. standard reference materials or funds for abstracting services;
- vi. provision of computers, including laptops (excluding access to high-performance computers or other specialised applications) and basic computing facilities such as printers, word processing and other standard software; and

vii. use of photocopiers, telephones, mail, fax, email and internet services.

**h. Publication costs**

Publication costs, including printing and page costs, will not be funded under DP.

**i. Costs not directly related to a project**

Costs not directly related to a project will not be funded, for example costs of a personal nature.

**6.5 Areas of investigation/work not supported**

6.5.1 DP does not support:

- a. Medical and Dental Research;
- b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, film, broadcasts, designs and literary works. These areas are generally covered by other Commonwealth Government funding agencies, such as the Australia Council for the Arts;
- c. projects such as uncritical compilations and purely descriptive catalogues or editions that do not involve original research;
- d. production of teaching materials, even though some research may be involved in their production;
- e. compilation of data, unless this is an integral part of a project, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute; and/or
- f. development of research aids and tools (including computer programs), unless they form an integral part of the Proposal, in which case the Proposal must include a statement indicating the research objectives to which these activities would contribute.

6.5.2 If the ARC considers that a Proposal seeks funding for a project that involves any of the items not permitted under Sections 6.4 or 6.5, then to that extent part or all of the Proposal will not be recommended or approved for funding. However, if the ARC considers other parts of the proposed project remain worthy of support, the ARC may recommend that a reduced amount of funding be approved for the Proposal.

**6.6 Number of Proposals and funded projects**

**6.6.1 General requirements**

6.6.1.1 Proposals may be submitted only to the extent that, if all were successful, the researchers nominated on those Proposals would not be involved in more than the maximum numbers of projects permitted in 2009 (see subsection 6.6.1.2). For the purposes of applying these limits, the number of Proposals and the number of ongoing research projects which are to be funded for 2009 on which a researcher is nominated, are evaluated as at the closing time for the submission of Proposals,

regardless of any subsequent change in, or withdrawal of, Proposals, taking into account proposed relinquishment of Fellowships for those seeking a subsequent ARF/QEII/APF (see subsections 8.5.5.3d and 8.5.6.4). Submitting Proposals that exceed any or all of these limits may result in all Proposals involving the relevant researcher(s)' not being recommended or approved for funding.

6.6.1.2 Specific limits on number of projects funded for 2009:

| <b>Limit type</b>   | <b>Limit description</b>   |
|---|--|
| a. CI/Fellow limit  | A researcher may not be involved in more than two DP projects on which he/she is a CI or ARC Fellow.   |
| b. Sole CI/Fellow limit   | A researcher may not be involved as a CI or ARC Fellow on more than one DP project on which there are no other CIs or ARC Fellows.   |
| c. PI limit   | A researcher may not be involved as a PI on more than four DP projects.  |
| d. Limit for Specified Personnel for ARC Centres (CIs, Centre Directors, Centre Managers) | Subject to subsection 6.6.1.2.e, a researcher who is one of the Specified Personnel* for an ARC Centre may be involved in one DP project.<br><br>* For the purposes of these Funding Rules, the term "Specified Personnel" means the Specified Personnel for the Centre, excluding any PIs, as specified in Schedule A of the funding agreement for the Centre or as otherwise varied with the approval of the ARC. It includes the Centre Director, Research Director, Centre Manager and Chief Investigators who are performing the work of the Centre pursuant to the funding agreement for the Centre. |
| e. Federation Fellow limit  | A Federation Fellow may be involved in up to two DP projects (one may be as a sole CI), in addition to her/his Federation Fellowship and irrespective of any association he/she may have with a Commonwealth-funded Research Centre.   |
| f. Number of DP Fellowships   | A researcher may be nominated for a maximum of one ARC Fellowship in this DP funding round.  |
| g. ARC Fellowship researchers at Commonwealth-funded Research Centres                     | A researcher who holds an ARC Fellowship, or is nominated for an ARC Fellowship, for which the Host Organisation is a Commonwealth-funded Research Centre, may be involved in one DP project, in addition to her/his Centre/Fellowship activities.   |

6.6.1.3 For the purposes of the limits applying in these Funding Rules, a project for which funding was/is to be carried over, or deferred, into the next year is considered to be funded for the years notified in the letter of offer of funding provided by the ARC. For example, if a project was originally funded for four years and funding is subsequently carried over to a fifth year, the project will still be considered for these purposes as funded for the original four years.

## **6.6.2 Duplication**

- 6.6.2.1 Only one Proposal may be submitted to DP in respect of a particular project in the same funding round, regardless of any variation in the listed researchers and/or Administering Organisation. If the ARC considers that a project described in a Proposal is the same as or similar (in whole or in part) to a project described in another Proposal that is submitted in the same funding round, the ARC may in its absolute discretion decide to not recommend for approval any or all of those Proposals, or recommend that a reduced amount of funding be provided for that or any similar Proposal. The ARC reserves the right to determine whether Proposals are duplicates or sufficiently similar to warrant one or more Proposals' being not recommended for approval.
- 6.6.2.2 A Proposal may not be submitted if it is essentially the same as an eligible Proposal submitted in the DP funding round conducted in 2008 and that latter Proposal was ranked in group E (remainder of unsuccessful proposals) in that earlier round. If the ARC considers that a Proposal is for essentially the same project as a Proposal submitted in the previous round, the ARC may in its absolute discretion decide to not recommend the later Proposal for approval. However, if a DP Proposal was not funded in a previous round because the ARC considered it as ineligible for funding because it did not meet the eligibility criteria or accountability requirements, a similar Proposal which meets the eligibility and accountability requirements may be submitted in the immediately following round.

## **7 Organisational types, roles and eligibility**

### **7.1 Eligible Organisations**

- 7.1.1 A Proposal may be submitted only by an Eligible Organisation. Appendix 2 specifies Eligible Organisations for DP.
- 7.1.2 ARC Fellowships offered under DP may be undertaken at Eligible Organisations specified in Appendix 2, Item 1. In addition to these organisations, Proposals containing requests for salary and on-costs for APDs and QEII's only may be submitted by other organisations if, in the opinion of the ARC, the organisation provides an appropriate research training environment (see Appendix 2, Item 2). Examples of such organisations include, but are not limited to, Commonwealth-funded research organisations or State/Territory-funded research organisations such as:
- a. Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS);
  - b. Australian Institute of Marine Science (AIMS);
  - c. Australian Nuclear Science and Technology Organisation (ANSTO);
  - d. Commonwealth Scientific and Industrial Research Organisation (CSIRO);
  - e. Defence Science and Technology Organisation (DSTO);
  - f. Geoscience Australia (GA);
  - g. State/Territory Research and Development organisations; and

h. Commonwealth-funded research Centres which are a separate corporate entity from the Eligible Organisations listed in Appendix 2, Item 1.

7.1.3 The organisations specified in Appendix 2, Item 2, may apply for APD or QEII salary and on-costs only. No funding will be provided for other research costs.

7.1.4 The organisations listed in Appendix 2, Item 1, may apply for salary and on-costs for APDs, ARFs/QEIIIs and APFs, and/or for other permissible research costs.

## **7.2 Partner Organisations**

7.2.1 While other organisations may be associated with Proposals, the terms Collaborating Organisation and Partner Organisation are not applicable under DP.

# **8 Roles and eligibility for researchers**

## **8.1 Researcher roles and general eligibility**

8.1.1 Roles that may be undertaken by researchers under DP are:

- a. Chief Investigator (CI);
- b. Partner Investigator (PI); or
- c. ARC Fellow:
  - i. Australian Postdoctoral Fellow;
  - ii. Australian Research Fellow/Queen Elizabeth II Fellow; or
  - iii. Australian Professorial Fellow.

8.1.2 A researcher nominated in a Proposal with any of the roles above may also be nominated in a Proposal as having Early Career Researcher (ECR) status (Section 8.2). ECR is not a researcher role.

8.1.3 A Proposal must nominate at least one CI, APD, ARF/QEII or APF candidate.

8.1.4 All CIs, PIs and ARC Fellows nominated on a Proposal must satisfy the eligibility criteria for the role they are to perform, as specified in Section 8 of these Funding Rules.

Note: If a person has been nominated for an incorrect role on a Proposal (that is, for a role for which he/she does not satisfy the eligibility criteria), the Proposal may be funded only if, upon request by the ARC, the Administering Organisation provides the ARC with relevant certifications from the person, and evidence that he/she satisfies the eligibility criteria, for the role he/she is to perform.

8.1.5 The first-named researcher nominated on a Proposal who is a CI or ARC Fellow on a Proposal will be considered the 'Project Leader' of the project.

8.1.6 A researcher nominated as a CI, PI or ARC Fellow must take significant intellectual responsibility for the proposed project, any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment to the project and cannot assume the role

of a supplier of resources for work that will largely be placed in the hands of others. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.

8.1.7 At the time of the submission of a Proposal all obligations regarding previously funded projects involving the nominated CIs and ARC Fellows on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory progress and final reports.

8.1.8 If the ARC considers that a researcher nominated in a Proposal as a CI, PI or ARC Fellow does not meet the eligibility criteria in this Section or Sections 8.3, 8.4 or 8.5 for the role which that researcher is to perform, the Proposal will not be recommended or approved for funding.

## **8.2 Early Career Researchers**

### **8.2.1 Definition of ECR**

8.2.1.1 Early Career Researcher (ECR) means a researcher who has a PhD awarded on or after 6 March 2003. If a researcher does not satisfy this criterion but considers herself/himself to have equivalent research degree or experience of similar duration and wishes to be nominated as having ECR status, a case must be presented within the Proposal (see the “DP Instructions to Applicants for funding commencing in 2009”). Circumstances which the ARC may take into account in determining whether to approve ECR status for a person who does not meet the qualification or timing requirements could, among other things, include career interruptions due to non-research employment, misadventure or carer responsibilities. The ARC reserves the right to determine the ECR status of researchers based on the case presented within the Proposal.

8.2.1.2 The ARC identifies a target level of funding within DP for projects on which all listed researchers have ECR status (ECR-Only Proposals).

8.2.1.3 If a Proposal nominates a CI, PI or ARC Fellow who is determined by the ARC not to have ECR status, the Proposal is not an ECR-Only Proposal.

## **8.3 Eligibility criteria for Chief Investigators**

8.3.1 To be eligible to be a CI, a person must meet the criteria stipulated in Section 8.3 and subsections 8.1.6 and 8.1.7.

8.3.2 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at 1 January 2009, and for the full term of her/his participation in the project:

- a. be an employee of, and derive at least 50 per cent of her/his Earnings from, an Eligible Organisation listed in Appendix 2, Item 1; or
- b. be a holder of an Adjunct Appointment or equivalent, at an Eligible Organisation listed in Appendix 2, Item 1 and not derive more than 50 per cent of her/his Earnings from organisations outside the higher education sector that are funded predominantly from State/Territory or Commonwealth

Government sources if the Government funding for her/his organisation, or her/his part of the organisation, is provided mainly for research activities. Such organisations include, but are not limited to, Commonwealth-funded Research Centres which are outside the higher education sector, AIMS, ANSTO, CSIRO, DSTO, GA, and State/Territory Research and Development organisations and research areas within a Government entity; or

c. be a Federation Fellow.

8.3.3 He/she must reside predominantly in Australia for the full term of her/his participation in the project. If the person does not have permanent resident status he/she must obtain temporary or permanent resident status from the Department of Immigration and Citizenship before he/she may commence on the project.

8.3.4 Notwithstanding a researcher's eligibility under the criteria above or below in this Section, a researcher undertaking undergraduate or postgraduate studies is not eligible to be a CI, unless the researcher's undergraduate or postgraduate studies lie outside the scope and area of the research proposed in the Proposal.

8.3.5 If a Proposal has been approved for funding and any or all of the CIs are at any time during the project no longer able to work as proposed on the project, the project may be continued under replacement CIs provided that:

- a. approval is obtained from the Minister or the ARC for the change in CI; and
- b. a replacement CI meets the following criteria at the time he/she is nominated as a replacement and for the full term of her/his participation in the project:
  - i. he/she must take significant intellectual responsibility for the proposed project and any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment and contribution to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others; and
  - ii. he/she must reside predominantly in Australia for the full term of her/his participation in the project; and
  - iii. all obligations regarding previously funded projects involving the nominated replacement CI must have been fulfilled to the satisfaction of the ARC; and
  - iv. he/she must be:
    - (a) an employee of, and derive at least 50 per cent of her/his Earnings from, an Eligible Organisation listed in Appendix 2, Item 1; or
    - (b) be a holder of an Adjunct Appointment or equivalent, at an Eligible Organisation listed in Appendix 2, Item 1 and not derive more than 50 per cent of her/his Earnings from organisations outside the higher education sector that are funded predominantly from State/Territory or Commonwealth Government sources if the Government funding for her/his organisation, or her/his part of the organisation, is provided mainly for research activities. Such organisations include, but are not limited to, Commonwealth-funded Research Centres which

- are outside the higher education sector, AIMS, ANSTO, CSIRO, DSTO, GA, and State/Territory Research and Development organisations and research areas within a Government entity; or
- (c) a Federation Fellow.

## **8.4 Eligibility criteria for Partner Investigators**

- 8.4.1 To be eligible to be nominated as a PI on a Proposal, a researcher must:
- a. not meet the eligibility criteria specified in Section 8.3.2 for a CI;
  - b. secure a significant contribution of cash, in-kind or other resources from the researcher's organisation for the proposed project (having regard to the total cost of the project and the relative contribution of other investigators); and
  - c. take significant intellectual responsibility as outlined in subsection 8.1.6.
- 8.4.2 If a Proposal has been approved for funding and any or all PIs are at any time during the project no longer able to work as proposed on the project, the project may be continued under replacement PIs provided that:
- a. approval is obtained from the Minister or the ARC for the change in PI; and
  - b. the replacement PI(s):
    - i. meet the eligibility criteria specified in subsection 8.4.1b and 8.4.1.c at the time of her/his nomination and for the full term of her/his participation in the project; and
    - ii. do not meet the eligibility criteria specified in Section 8.3.5.b.iv for a replacement CI.

## **8.5 Eligibility criteria for Fellowships**

### **8.5.1 General eligibility**

- 8.5.1.1 There are a number of different types of Fellowship available. Fellowship candidates must meet the criteria for CIs in subsections 8.1.6, 8.1.7 and 8.3.3, plus the eligibility criteria for the Fellowship type being sought as detailed below.
- 8.5.1.2 Fellowship candidates must:
- a. have been awarded a PhD within the time limits specified for the particular type of Fellowship; or
  - b. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in Section 10.1, for the:
    - i. recognition of an equivalent research degree or experience; and/or
    - ii. relaxation of the qualification and/or timing requirements.
- 8.5.1.3 The Eligibility Exemption Request must contain supporting information justifying the Fellowship candidate's special circumstances for an eligibility exemption, including information indicating that the candidate's research degree/experience is equivalent to a PhD obtained within the time limits specified and/or a case justifying the relaxation of the timing requirements in terms of issues such as, but



not limited to, research career interruption, non-research employment, misadventure or carer responsibilities. Exemptions may be given by the ARC only if the exemption has been sought in accordance with the process described in Section 10.1.

8.5.1.4 The ARC may, in its absolute discretion, determine the validity and date of effect for the attainment of PhD-equivalent status for researchers for the purpose of determining the eligibility of Fellowship candidates and whether to relax the timing requirements.

8.5.1.5 Unless otherwise specified in these Funding Rules, Proposals requesting a Fellowship must be made on the basis that the Fellow's research will be carried out on a full-time basis only. Nevertheless, if a Fellowship Proposal is successful the Fellow may, during the term of the Fellowship, request approval from the ARC for conversion of the Fellowship to part-time status for a limited period or periods of time. The ARC may, in its absolute discretion, approve the conversion of the Fellowship to part-time status for one or more periods of time.

## **8.5.2 Host Organisations for Fellows**

8.5.2.1 See subsections 7.1.1– 7.1.2 for information on Host Organisations at which Fellows may undertake their research.

## **8.5.3 Fellowships at a Commonwealth-funded Research Centre**

8.5.3.1 Funding for Fellows who will be undertaking research which forms a part of a Commonwealth-funded Research Centre's research activities will be limited to the provision of support for salary plus on-costs as specified in Appendix 3. Proposals requesting such Fellowships must contain a letter from the Centre Director confirming that the Fellow, if successful, will have her/his research costs funded by the Centre for research on the proposed project. This confirmation may be contained in the same letter as that requested in subsection 9.3.1.2. If the Proposal does not contain this confirmation, then the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

8.5.3.2 Other Proposals involving existing and proposed Fellowships at a Commonwealth-funded Research Centre should have regard to Section 9.3.

## **8.5.4 Eligibility criteria for Australian Postdoctoral Fellowships (APDs)**

8.5.4.1 APDs provide opportunities for researchers at the postdoctoral level to undertake research of national and international significance, and to broaden their research experience.

8.5.4.2 A Proposal may seek funding for an APD only if:

- a. the Fellowship candidate has been awarded a PhD on or after 6 March 2005 or has obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in Section 10.1, for the recognition of an equivalent research degree or experience and/or relaxation of the qualification and/or timing requirements; or

- b. the Fellowship candidate has not yet submitted a PhD thesis but is expected to do so before the end of 2008 in which case the ARC will require official confirmation that the thesis has been submitted by 31 December 2008. An APD Fellowship cannot be commenced until formal advice is received by the ARC that the PhD has been awarded within a maximum time limit of 6 months of the thesis submission date. If these conditions have not been satisfied, the offer of funding for the Proposal may be withdrawn and the Funding Agreement may be terminated; and
- c. the Fellowship candidate has not been previously awarded an ARC Fellowship.

8.5.4.3 A researcher who has held an IRF (or ARC Research Cadetship-Aboriginal and Torres Strait Islander award) may be nominated for an APD only during or after the final year of her/his IRF/Research Cadetship.

#### Tenure details and salary support entitlements for APDs

8.5.4.4 The notional ARC salary support for APDs is set out in Appendix 3. The following salary support options are available for an APD:

- a. **100 per cent salary and on-costs from the ARC for 3 years; or**
- b. **75 per cent salary and pro rata on-costs from the ARC over 4 years.** Under this option a Fellow may spend up to 25 per cent of her/his time on activities other than the proposed project. The Administering Organisation is required to provide the remaining 25 per cent of salary support for the Fellowship candidate to engage in teaching or other professional activities. However, if the Fellowship candidate requests that the other 25 per cent of time be used on non-remunerated activities (such as family or carer responsibilities), the Administering Organisation may at its absolute discretion permit the candidate to undertake a 75 per cent Fellowship-only role.

### **8.5.5 Eligibility criteria for Australian Research Fellowships and Queen Elizabeth II Fellowships (ARF/QEII)s**

8.5.5.1 ARFs and QEII provide opportunities for established researchers to undertake research of national and international significance and encourage research in Australia by postdoctoral graduates of exceptional promise and proven capacity for original work.

8.5.5.2 While researchers may be proposed for the general ARF/QEII category, the level of appointment which may be recommended is at the ARC's discretion (see Appendix 3 for ARF/QEII salary support).

8.5.5.3 At the closing time for the submission of Proposals an ARF/QEII candidate must:

- a. if he/she has not been previously awarded an ARF or QEII, have not more than 8 years' professional experience since the award of her/his PhD or have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in Section 10.1, for the recognition of an equivalent research degree or experience and/or relaxation of the qualification and/or timing requirements;

- b. if he/she has been previously awarded an ARF or QEII, have not more than 13 years' professional experience since the award of her/his PhD or have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in Section 10.1, for the recognition of an equivalent research degree or experience and/or relaxation of the qualification and/or timing requirements;
- c. satisfy the requirements of subsection 6.6.1.2 – limits regarding number of projects – taking into account proposed relinquished Fellowships for those seeking a subsequent ARF/QEII (see d. below);
- d. if seeking a subsequent ARF/QEII, have completed the previous ARF/QEII or be in the fourth or fifth year of an existing ARF/QEII. If there is any salary-related Fellowship funding (including on-costs) in respect of the candidate which is:
  - i. payable by the ARC on or after 1 January 2009; or
  - ii. unexpended by the relevant administering organisation as at 1 January 2009;

the candidate and the relevant administering organisation must have agreed, prior to the submission of the Proposal, that such salary-related funding (including on-costs) associated with the existing ARF/QEII will be relinquished if the Proposal is successful.

- e. If a Proposal for a subsequent ARF/QEII is successful, the continuation after 31 December 2008 of any unused funding associated with the previous ARF/QEII will be the subject of negotiation with the ARC. Funding may be permitted to continue only if a case has been made, to the satisfaction of the ARC, for the continuation of funding of any research costs for pre-existing projects on which the Fellow is involved.

8.5.5.4 An ARF/QEII may be requested for an existing APD or APDI Fellow only in or after the final year of her/his Fellowship.

Tenure details and salary support entitlements

8.5.5.5 ARFs and QEII's are awarded on a full-time basis only. ARF and QEII Fellows are expected to work full-time on the proposed research and research-related activities. Research-related activities may include supervision of postgraduate students.

8.5.5.6 Funding may be provided for ARFs/QEII's for 5 years. The notional ARC salary support for ARFs/QEII's is set out in Appendix 3.

8.5.5.7 Salary support for ARFs/QEII's may be requested, and funded, only as follows:

- a. **100 per cent salary plus on-costs.** This option is available only if the Fellowship candidate has not previously held an ARF/QEII; or
- b. **50 per cent salary plus pro rata on-costs.** This option is available for first or subsequent Fellowships. In this case, the ARC will enter into an agreement with the Administering Organisation and the ARC will provide salary support of 50 per cent of the notional Fellowship salary plus pro rata on-costs. This must at least be matched by the Fellow's Administering

Organisation. Fellows being funded on the 50:50 salary support option must still work on their research on a full-time basis.

### Selection

8.5.5.8 Preference may be given for the award of ARFs to Australian citizens and permanent residents. Non-resident or non-Australian citizen researchers will need to demonstrate a higher level of performance than other ARF candidates or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally and of benefit to Australian research.

8.5.5.9 For QEII candidates, citizenship is not a consideration in the assessment of the award of the Fellowship.

8.5.5.10 Preference may be given to ARF/QEII candidates who have not previously been awarded an ARF/QEII.

### **8.5.6 Eligibility criteria for Australian Professorial Fellowships (APFs)**

8.5.6.1 APFs provide opportunities for outstanding researchers with proven international reputations to undertake research that is both of major importance in its field and of significant benefit to Australia.

8.5.6.2 APFs are available in two options – 100% salary plus on-costs and 50% salary plus pro-rata on-costs.

8.5.6.3 At the closing time for the submission of Proposals, unless an Eligibility Exemption Request has been approved by the ARC, an APF candidate must:

- a. have been awarded a PhD, or have been approved by the ARC as having a research degree or experience equivalent to the award of a PhD (Note: For APFs there is no restriction on the date of award of the Fellowship candidate's PhD);
- b. satisfy the requirements of subsection 6.6.1.2 – limits regarding number of projects – taking into account proposed relinquished Fellowships for candidates who hold an existing ARC Fellowship or Federation Fellowship as required under subsection 8.5.6.4;
- c. not hold a continuing research-only position as a Professor or equivalent at an Eligible Organisation listed in Appendix 2, Item 1; and
- d. if the candidate holds an existing ARC Fellowship or Federation Fellowship, have completed or be in the final or penultimate year of her/his fellowship (see subsection 6.2.4 regarding the “term” of an ARC Fellowship).

8.5.6.4 If the APF candidate holds an existing ARC Fellowship or Federation Fellowship and there is any salary-related fellowship funding (including on-costs) in respect of the candidate which is:

- a. payable by the ARC on or after 1 January 2009; or
- b. unexpended by the relevant administering organisation as at 1 January 2009;

the candidate and the relevant administering organisation must have agreed, prior to the submission of the Proposal, that such salary-related funding (including on-

costs) associated with the existing ARC Fellowship or Federation Fellowship will be relinquished if the Proposal is successful.

- 8.5.6.5 The continuation after 31 December 2008 of any unused funding associated with a previous ARC Fellowship will be the subject of negotiation with the ARC. Funding associated with a previous ARC Fellowship may be permitted to continue only if a case has been made, to the satisfaction of the ARC, for the continuation of funding of any research costs for pre-existing projects on which the Fellow is involved.

Tenure details and salary support entitlements

- 8.5.6.6 APFs are awarded on a full-time basis only. APF Fellows are expected to work full-time on the proposed research and research-related activities. Research-related activities may include supervision of postgraduate students.

- 8.5.6.7 Funding may be provided for APFs for 5 years. The notional ARC salary support for APFs is set out in Appendix 3.

- 8.5.6.8 Salary support for APFs may be requested, and funded, only as follows:

- a. **100 per cent salary plus on-costs.** At the closing time for the submission of proposals, unless an Eligibility Exemption Request has been approved by the ARC, an APF candidate for the 100% option must:
  - i. not have held an APF or Federation Fellowship previously and; either
  - ii. have held an ARF, QEII, or a fellowship awarded on a competitive basis which in the opinion of the ARC is of at least similar status, which ceased or is due to cease after 31 December 2006 (see subsection 6.2.4 regarding the “term” of a fellowship); or
  - iii. be proposing to move employment to an Eligible Organisation specified in Appendix 2, Item 1 from an organisation which is not specified in Appendix 2, Item 1.
- b. **50 per cent salary plus pro rata on-costs.** This option is available for first or subsequent APFs. In this case, the ARC will enter into an agreement with the Administering Organisation and the ARC will provide salary support of 50 per cent of the notional Fellowship salary plus pro rata on-costs. This must at least be matched by the Fellow’s Administering Organisation. Fellows being funded on the 50% salary support option must still work on their research on a full-time basis.

Selection

- 8.5.6.9 Preference may be given for the award of APFs to Australian citizens and permanent residents. Non-resident or non-Australian citizen researchers will need to demonstrate a higher level of performance than other APF candidates or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally and of benefit to Australian research.

- 8.5.6.10 Preference may be given to APF candidates who have not previously been awarded an APF.

- 8.5.6.11 APF candidates who hold a continuing position at an Eligible Organisation listed in Appendix 2, Item 1 must demonstrate that the award of the APF will substantially enhance their capacity to undertake research.

## **9 Cross-scheme issues**

### **9.1 Cross-scheme funding**

- 9.1.1 The ARC will not duplicate financial assistance for research already funded by the Commonwealth or which is likely to be funded from other Commonwealth funding sources (including under other ARC funding schemes). The ARC reserves the right to determine if a Proposal duplicates or is likely to duplicate research being funded by another Commonwealth source. In such circumstances the ARC may in its absolute discretion decide to not recommend the Proposal for approval. However, if the ARC considers that parts of the proposed project remain worthy of support, the ARC may assess the Proposal in the usual way and the ARC may instead recommend that a reduced amount of funding be approved for the Proposal.

### **9.2 Cross-scheme eligibility**

- 9.2.1 If the Administering Organisation or a researcher nominated as a CI, PI or ARC Fellow on a Proposal is involved in a funding request for any proposed research project (including fellowship), salary or equipment that has been submitted under this or any other ARC scheme or to any other Commonwealth funding body, the Proposal must contain details of the request and summary details of all other funding must be included in the Proposal. Proposals must indicate the level of funding obtained for approved projects (including fellowships), or being sought for future projects (including fellowships), from all Commonwealth funding sources and must list all existing research funding from all Commonwealth sources. If these processes are not observed, or the ARC determines that incomplete, misleading or inaccurate details were included in the Proposal, the ARC may in its absolute discretion decide to not recommend the DP Proposal for approval.
- 9.2.2 If a nominated researcher has been awarded, or is currently requesting, an ARC Fellowship under another ARC funding scheme, the Proposal must contain details of the project/Proposal. If more than one of these Fellowship requests is approved for funding, only one Fellowship can be accepted.
- 9.2.3 The ARC may liaise with other funding agencies to discuss any overlap between proposed or existing research projects (including fellowships) in order to avoid duplication of funding. The ARC may for this purpose disclose to that agency any information in a Proposal.

### **9.3 Researchers from Commonwealth-funded Research Centres**

#### **9.3.1 Duplication with Commonwealth-funded Research Centres**

- 9.3.1.1 Funding will not be provided for research already funded by a Commonwealth-funded Research Centre or which could reasonably be expected to be supported by the Centre given its research program and its level of funding. The proposed research must not duplicate work that, in the opinion of the ARC, is, will be or

could reasonably be expected to be, undertaken by a Commonwealth-funded Research Centre.

Letter showing association between the Proposal and a Commonwealth-funded Research Centre

- 9.3.1.2 If a Proposal identifies a CI or Fellowship candidate who is associated with a Commonwealth-funded Research Centre, and the person will continue to be associated with the Centre after 31 December 2008, the Proposal must include a letter from the Centre Director which:
- a. describes the relationship between the proposed research and the research undertaken by the Centre; and
  - b. explains how, and explicitly states that, the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by the Centre; and
  - c. if Commonwealth funding for the Centre is likely, or is due, to terminate during the 2009 calendar year, provides details regarding the future of the Centre's research activities and the employment circumstances of the CI or Fellowship candidate.
- 9.3.1.3 This letter should be no longer than one page. If such a letter is not provided in the Proposal, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 9.3.1.4 The ARC reserves the right to determine if a proposed project duplicates work funded or likely to be funded as part of a Commonwealth-funded Research Centre. In making a determination the ARC may have regard to, among other matters, the Centre application, Centre funding agreement, business plans, strategic plans and/or Annual Reports. If the ARC considers any information contained in the DP Proposal, the accompanying letter from the Centre Director and/or the Centre Annual Report is incomplete, inaccurate, or misleading in a material respect, the ARC may in its absolute discretion decide to not recommend the Proposal for approval. If, however, the ARC considers that parts of the proposed project remain worthy of support, the ARC may recommend that reduced funding be approved for the Proposal. If the ARC becomes aware of duplication of funding after a project has been funded the project may be terminated and the Centre Director may be asked to show cause why any ARC funding for the Commonwealth-funded Research Centre should not be terminated.
- 9.3.1.5 Subsection 8.5.3.1 provides further details on the requirements for statements pertaining to Fellowships proposed to be held by researchers at Commonwealth-funded Research Centres which may need to be included in the letter from the Centre Director.

## **9.4 Funding of Medical and Dental Research**

- 9.4.1 Pursuant to Section 6.5 and 9.4, the ARC does not fund Medical and Dental Research under DP. The ARC reserves the right to determine conclusively whether the proposed research involves Medical and Dental Research.
- 9.4.2 The NHMRC funds a range of Medical and Dental Research. In some instances, it may not be clear to the intended Administering Organisation whether or not a Proposal would fall within this area of research such that it would not be funded by the ARC. In these cases, an Eligibility Ruling Request may be submitted to the ARC, by forwarding a summary of not more than two pages outlining the proposed research, according to the process described in Section 10.1. The ARC may use the Eligibility Ruling Request to decide whether it would be willing to accept a Proposal involving the proposed research. For the purpose of determining a ruling in relation to proposed research the ARC may, but is under no obligation to, refer Eligibility Ruling Requests to the NHMRC in order to consult with the NHMRC about the likelihood of the NHMRC's funding proposed research in the relevant research area. The intended Administering Organisation will be advised of the ARC's decision approximately two weeks after the due date for such requests..
- 9.4.3 If the Administering Organisation submits, or is intending to submit, applications to the ARC and the NHMRC for similar research it must cross-reference the Proposals and must declare the dual submission on the ARC application form.
- 9.4.4 In all cases, whether or not the above process is observed, the ARC reserves the right to decide whether a proposed project, or elements of a project, falls within the area of Medical and Dental Research.

## **10 Application process**

### **10.1 Eligibility Exemption and Eligibility Ruling Process**

- 10.1.1 These Funding Rules describe a number of situations where it is possible to submit an Eligibility Exemption Request or an Eligibility Ruling Request for the purposes of obtaining an exemption or ruling from the ARC regarding the eligibility of a proposed Proposal. All such Requests must be submitted on the ARC Eligibility Exemption/Ruling Request Form via the Research Office of the intended Administering Organisation, and, subject to subsection 10.1.2, be received by the ARC by 5:00 pm (AEDT) Friday 18 January 2008.
- 10.1.2 Subject to this subsection, Eligibility Exemption Requests and Eligibility Ruling Requests received after 5:00 pm (AEDT) Friday 18 January 2008 will not be considered. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late Eligibility Exemption/Ruling Requests.
- 10.1.3 The ARC may grant an exemption from the eligibility requirements only if an Eligibility Exemption Request has been submitted in accordance with the requirements of Section 10.1. Similarly, an Eligibility Ruling may be provided by the ARC only upon receipt of an Eligibility Ruling Request which has been submitted in accordance with the requirements of Section 10.1. An Eligibility



Ruling, however, does not constitute an exemption from the eligibility requirements - rather it provides an indication to potential Applicants about the likelihood of a Proposal's satisfying certain eligibility requirements if the Proposal is submitted in accordance with the circumstances outlined in the Eligibility Ruling Request.

10.1.4 Eligibility Exemption and Eligibility Ruling Requests must include the supporting information required in each of the situations where exemptions/rulings are being sought, as described elsewhere in this document. The Research Office will be advised of the outcome of any such request as soon as possible to allow time for a detailed Proposal to be completed if appropriate. If an Eligibility Exemption or Eligibility Ruling is given, the ARC will provide an identifying number for the exemption/ruling which is to be quoted on any associated Proposal which is submitted to the ARC.

10.1.5 The ARC Eligibility Exemption/Ruling Request Form is available on the ARC's Web Site.

## **10.2 Proposals**

10.2.1 A Proposal should be submitted as a mature research plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC or its College of Experts.

10.2.2 All details in the Proposal must be current at the time of submission.

10.2.3 In submitting a Proposal, the Administering Organisation and the CI, PI and ARC Fellows nominated in the Proposal are consenting to the Proposal's being assessed under the ARC's peer assessment procedures and agree to the release of the Proposal to third parties for assessment purposes.

## **10.3 Certification**

10.3.1 The Administering Organisation must obtain the agreement of all parties necessary to allow the proposed project to proceed. These agreements must be attested to by hand-written signatures and certifications from all relevant persons and organisations involved in the Proposal. These agreements, certifications and signatures are to be retained by the Administering Organisation which must provide them if requested by the ARC. A form is available for this purpose on the ARC's Web Site. If the Administering Organisation fails to provide this material upon request, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

10.3.2 A Proposal must be submitted through the appropriate Research Office. If a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification, the Proposal will not be recommended or approved for funding.

## **10.4 Submission of Proposals**

### **10.4.1 Proposals under DP consist of two parts:**

- a. an on-line form which must be completed and submitted in the ARC on-line grants application management system accessible via the ARC's Web Site; and
- b. additional text which must be submitted as part of the paper version of the Proposal:
  - i. Section B10, "Research record relative to opportunities" and, if an ARC Fellowship is requested, details of the Fellowship candidate's proposed contribution to the project, the research environment of the Host Organisation and reasons for the Fellowship candidate's not moving to another organisation if he/she intends to remain at her/his current organisation;
  - ii. Sections C2 and C3, "Justification of funding requested from the ARC" and "Details of non-ARC contributions";
  - iii. Part E, "Description of proposed project"; and
  - iv. if applicable, supporting documentation:
    - (a) Letter(s) from Centre Director for any participants associated with a Commonwealth-funded Research Centre (which should be clipped to the back of the Proposal);
    - (b) Section D2, "Statements on progress of ARC-funded projects".

### **10.4.2 Format**

10.4.2.1 All documents must be written in English and must comply strictly with the format, content and submission requirements as specified in these Funding Rules and the "DP Instructions to Applicants for funding commencing in 2009" document issued by the ARC. If a Proposal fails to meet any format, content or submission requirements, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

10.4.2.2 All pages of additional text must be in black type, use a single column and 12-point font size on white A4 paper, be printed on one side only and unbound, with all margins being at least 2cm. As Proposals are scanned electronically, a highly legible font type must be used, such as Arial, Courier, Palatino, Times New Roman and Helvetica. Variants such as mathematical typesetting languages may also be used. References may be reproduced in 10-point font size. Colour graphs or colour photographs may be included but they will be reproduced in black and white and the reproduction quality may not be optimal. Finely detailed graphics and grey scale may also not be precisely reproduced.

10.4.2.3 The pages of the Proposal must be numbered consecutively starting from page 1.

### **10.4.3 How to complete and submit a Proposal**

- 10.4.3.1 Administering Organisations must use the form within the ARC's on-line grants application management system accessible via the ARC's Web Site.
- 10.4.3.2 A "DP Instructions to Applicants for funding commencing in 2009" document will be available from the ARC's Web Site. This document specifies a range of requirements for Proposals and also assists parties in preparing Proposals.
- 10.4.3.3 Administering Organisations may have internal closing dates for Proposal preparation which precede ARC closing times.
- 10.4.3.4 Research Offices have access to the ARC on-line grants application management system and will allocate User IDs and passwords to enable researchers at their organisations to access the system and prepare Proposals. If a researcher has previously been allocated access, her/his User ID and password should still be current. If researchers do not have a Research Office or equivalent unit, they should email [gamsids@arc.gov.au](mailto:gamsids@arc.gov.au) at the ARC for assistance.
- 10.4.3.5 Research Offices should submit forms in the ARC's on-line grants application management system and forward the Proposal and a copy which must, aside from the required signatures on the certification pages and additional text, identically match the contents of the submitted on-line application form. Proposals should be sent:

by courier to:

*Discovery Projects* Coordinator  
Australian Research Council  
1st Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT 2609

or, by mail to:

*Discovery Projects* Coordinator  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

### **10.4.4 Number of copies**

- 10.4.4.1 In addition to the on-line form, the paper part of a Proposal must be submitted along with an identical paper copy. The paper parts must be clipped, not stapled. The paper parts of a Proposal must be submitted with the additional text, including supporting documentation, interleaved appropriately (see the "DP Instructions to Applicants for funding commencing in 2009").

### **10.4.5 Closing time for Proposals**

- 10.4.5.1 Subject to subsection 10.4.5.3, the paper parts of a Proposal must be received by the ARC, and the on-line form completed using the ARC's on-line grants

application management system must be submitted, by 5:00 pm (AEDT) Friday 7 March 2008.

10.4.5.2 Proposals may be withdrawn but additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

10.4.5.3 If the paper parts of a Proposal are not received by the ARC by 5:00 pm (AEDT) Friday 7 March 2008 the ARC may in its absolute discretion decide to not recommend the Proposal for approval. In deciding whether to recommend or not recommend such a Proposal the ARC may take into account whether:

- a. in the opinion of the ARC, exceptional circumstances apply; or
- b. the Administering Organisation is able to provide evidence to the satisfaction of the ARC that all the documents were despatched by the Administering Organisation sufficiently in advance of the closing time for the documents to have been delivered by the closing time in the normal course of events.

## **11 Selection and approval process**

### **11.1 Selection criteria**

11.1.1 All DP Proposals which meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:

- a. Investigator(s) (40%)
  - i. track record relative to opportunities
  - ii. capacity to undertake the proposed research
  
- b. Proposed project content (60%) made up of
  - i. Significance and innovation (30%)
    - does the research address an important problem?
    - how will the anticipated outcomes advance the knowledge base of the discipline?
    - is the research principally focussed upon a topic or outcome that falls within one of the National Research Priorities and associated Priority Goals, and if so how does it address the National Research Priority?
    - are the Proposal's aims and concepts novel and innovative?
    - will new methods or technologies be developed?
  - ii. Approach (20%)
    - are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the Proposal?
    - how appropriate is the proposed budget?

- iii. National benefit (10%)
  - what is the potential of the research project to result in economic, environmental and/or social benefits for Australia from the expected results and outcomes of the project?
  - what is the potential for the research to contribute to the National Research Priorities?

## **11.1.2 Fellowships**

11.1.2.1 There are limited numbers of Fellowships available for funding. The recommending of Fellowships is at the ARC's discretion, having regard to the excellence of the Fellowship candidate's track record and the excellence of the research project according to the criteria in subsection 11.1.1 and the matters at subsections 8.5.5.8 – 8.5.5.10 and 8.5.6.9 – 8.5.6.11. In addition, for APDs, ARFs and QEIs only, preference may be given to Fellowship candidates who intend to move to an organisation other than the one where their PhD was obtained and/or who have had research experience at more than one organisation. Proposals should include a justification for the choice of proposed Host Organisation, particularly if no change of organisation is planned.

## **11.1.3 ECR-Only Proposals**

11.1.3.1 The ARC has identified funds within DP specifically for funding ECR-Only Proposals. These identified funds may be used to support ECR-Only Proposals which the ARC considers are of sufficient quality to be recommended for approval.

## **11.2 Assessment and selection procedure**

### **11.2.1 Assessment and selection process**

11.2.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations solely on the basis of its expertise, and which may:

- a. consider if a Proposal satisfies the eligibility criteria set out in these Funding Rules;
- b. identify and consider any other matters that these Funding Rules state may result in the ARC's not recommending a Proposal for approval;
- c. assign assessors to review Proposals;
- d. seek comments on assessors' reports from the parties involved in the Proposal;
- e. rank each Proposal relative to the others on the basis of the Proposal, any assessors' reports, and any response to those assessment reports;
- f. assess and recommend the amount of funding to be made available for a Proposal; and/or
- g. prepare funding recommendations.

11.2.1.2 The ARC College of Experts assists with the assessment of Proposals. The ARC has procedures for managing organisational and personal conflicts of interest experienced by members of the College of Experts, members of other ARC

Committees, ARC staff, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.

## **11.2.2 Exclusion of Proposals**

- 11.2.2.1 The ARC will not recommend for approval, and the Minister will not approve for funding, any Proposal that fails to satisfy the “eligibility criteria” set out in these Funding Rules, including:
- a. if the ARC considers that the Proposal seeks funding for any of the items not permitted under Sections 6.4 or 6.5 and the ARC considers no other part of the proposed project remains worthy of support (subsection 6.5.2);
  - b. if the Proposal seeks salary funding for a CI or PI (subsection 6.4.2.b) or seeks salary support for a Fellowship candidate under an option which is not available for that candidate (subsections 8.5.5.7 and 8.5.6.8).
  - c. if the Proposal was not submitted by an Eligible Organisation (Section 7.1);
  - d. if the Proposal did not nominate at least one CI, APD, ARF/QEII or APF candidate (subsection 8.1.3);
  - e. if the ARC considers that a researcher nominated in the Proposal as CI, PI or ARC Fellow does not meet the eligibility criteria as specified in Section 8.1 or Sections 8.3, 8.4 or 8.5 for the role which that researcher is to perform (subsection 8.1.8);
  - f. if the ARC determines that a proposed project would fall within the area of Medical and Dental Research (subsection 6.5.1.a and Section 9.4);
  - g. if a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification (subsection 10.3.2); and
  - h. if the Proposal is not for a program of research, or a program that supports the conduct of a program of research.
- 11.2.2.2 The ARC may in its absolute discretion decide not to recommend for approval a Proposal if:
- a. in the opinion of the ARC, any researcher nominated in the Proposal as a CI, PI or ARC Fellow has caused or has significantly contributed to the failure of an organisation to meet its obligations under any current or previous funding agreement with the ARC (subsection 4.1.5);
  - b. in the opinion of the ARC, any party involved in or associated with the Proposal has failed to disclose any conflict of interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Proposal (subsection 4.4.3.2);
  - c. if the Proposal has sought funding which is less than the minimum amount or more than the maximum amount of funding allowed (subsection 6.1.2);
  - d. the limits on the number of Proposals and projects permissible are exceeded (subsection 6.6.1.1);

- e. the ARC considers that the project described in the Proposal is the same as or similar (in whole or in part) to a project described in another Proposal that is submitted in the same funding round (subsection 6.6.2.1);
- f. the ARC considers that the Proposal is for essentially the same project as an eligible Proposal submitted in the DP funding round conducted in 2008 and that latter Proposal was ranked in group E (remainder of unsuccessful proposals) in that earlier round (subsection 6.6.2.2);
- g. where required the Proposal does not include a required letter from a Centre Director (subsections 8.5.3.1 and 9.3.1.2);
- h. in the opinion of the ARC, a Proposal duplicates or is likely to duplicate research already being funded, or which is likely to be funded, by the Commonwealth (subsections 4.4.2.2, 9.1.1 and 9.3.1.1);
- i. where required the Proposal does not include details of other funding or funding requests (subsection 9.2.1);
- j. the ARC considers incomplete, inaccurate, or misleading material has been provided in relation to the Proposal or if the Administering Organisation and/or researchers nominated in the Proposal as a CI, PI or ARC Fellow have provided the ARC with incomplete, unsatisfactory, inaccurate or misleading information in relation to the provision of advice relating to, or in the reporting of progress of, a funded project (subsections 9.2.1, 9.3.1.4 and 14.5.2 and 14.5.3);
- k. when requested, the Administering Organisation fails to provide the signed certifications and agreements of all parties necessary to allow the proposed project to proceed (Section 10.3);
- l. the on-line part of a Proposal is not submitted, or the paper part of the Proposal is not received by the ARC, by the closing time (subsection 10.4.5);
- m. the circumstances of a Proposal are such that an eligibility exemption or ruling is required but the required process has not been followed (including that the deadlines are not met) (Section 10.1); or
- n. the Proposal fails to meet any format and other submission requirements (Section 10.4).

### **11.2.3 Assessment**

- 11.2.3.1 In addition to assessment by the ARC, a Proposal may at the ARC's absolute discretion be assessed by external assessors. Assessors may be drawn from a range of organisations to reduce the potential for conflicts of interest. Proposals will be assessed against the criteria set out in these Funding Rules and the reports by the assessors may include written comment.
- 11.2.3.2 The ARC reserves the right to make recommendations for funding to the Minister based on any number of assessments or solely on the assessment of the ARC.
- 11.2.3.3 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal. A "Request not to Assess" form is available from the ARC's Web Site for this purpose. Such

notifications must contain detailed justification and be submitted using the “Request not to Assess” form through the Administering Organisation’s Research Office. This notification must not accompany the Proposal. The notification must be received by the ARC by the closing time for Proposals, 5:00 pm (AEDT), Friday 7 March 2008, and be sent:

by courier to:

*Discovery Projects* Coordinator  
Australian Research Council  
1st Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT 2609

or, by mail to:

*Discovery Projects* Coordinator  
Australian Research Council  
GPO Box 2702

- 11.2.3.4 The ARC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

#### **11.2.4 Rejoinder**

- 11.2.4.1 Assessors’ written comments, if obtained, may be provided to allow the opportunity for a rejoinder to the comments. Names of assessors are not provided. At the same time, the ARC may add questions to the material sent for rejoinder. A period of up to 2 weeks is given to submit a rejoinder to the ARC. Subject to subsection 11.2.4.2, rejoinders will not be accepted after the nominated closing time for rejoinder submissions. The ARC may limit the length of rejoinders which can be submitted. Rejoinders must be submitted through the ARC’s on-line grants application management system.
- 11.2.4.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late rejoinders.

#### **11.2.5 Recommendations**

- 11.2.5.1 The ARC’s recommendations will be submitted in accordance with the ARC Act to the Minister for consideration. The Minister determines which Proposals will be approved and the amount and timing of financial assistance to be paid to Administering Organisations for approved Proposals.
- 11.2.5.2 Under the ARC Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.



## **11.3 Offer of funding**

- 11.3.1 Administering Organisations whose Proposals are approved will be:
- a. notified in a letter of offer that will indicate the financial assistance to be offered; and
  - b. provided with a copy of a Funding Agreement for signing.

## **12 Appeals process**

12.1.1 Appeals will be considered only against administrative process issues and not, for example, against committee recommendations or assessor ratings and comments.

12.1.2 Appeals must be made on the appeals form available from the ARC's Web Site. The form must be lodged by the Administering Organisation and must be authorised by a Deputy Vice Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received within 28 days of the date on the letter notifying the outcome of Proposals.

12.1.3 Appeals must be addressed and sent:

by mail to:

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

or, by courier to:

The Appeals Officer  
Australian Research Council  
1st Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT 2609

## **13 Administration of funding**

### **13.1 Funding Agreement**

13.1.1 All parties involved in a Proposal should familiarise themselves with the standard Funding Agreement, but only the Administering Organisation and the ARC will be parties to the Funding Agreement. Parties involved in a funded project must accept the terms of the Funding Agreement and the Administering Organisation must sign the Funding Agreement before the ARC will commence payments.

13.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of the Funding Agreement.

13.1.3 Administering Organisations should note that the Funding Agreement covers post-award management, including reporting requirements and financial management. The standard Funding Agreement can be viewed on the ARC's Web Site.

## **13.2 Varying the Funding Agreement**

13.2.1 Requests to vary the Funding Agreement must be forwarded in writing by the Administering Organisation's Research Office to the ARC. Forms are available on the ARC's Web Site. Amendment of any clauses of the Funding Agreement will be at the ARC's absolute discretion.

## **13.3 Varying the Funding Approval**

13.3.1 Requests to vary the funding approval must be forwarded in writing by the Administering Organisation's Research Office to the ARC.

13.3.2 The funding approval may be varied by varying the amount of financial assistance, the period of financial assistance, the name of the person leading the research project and/or the name of the organisation receiving financial assistance.

13.3.3 The Minister may vary the funding approval if:

- a. any of the organisations involved in the project end, or substantially change, their involvement with the project;
- b. the research project changes so that it is no longer consistent with the description in the funding approval as previously approved or as otherwise varied;
- c. the desirable period of funding for a project is not consistent with the period in the funding approval as previously approved or as otherwise varied;
- d. the person nominated in the funding approval as the person leading the research project, or any such replacement person approved by the Minister, ceases to lead the project; and/or
- e. the ARC considers and recommends that the particular circumstances of the project warrant variation of the funding approval, providing such variation is reasonably justified upon the facts of the case and any variation or change to the project accords with the DP objectives.

## **13.4 Reports**

13.4.1 Administering Organisations are required to submit reports to the ARC concerning funded projects, in the format and by the due dates detailed in the Funding Agreement.

## **14 Other matters**

### **14.1 Applicable law**

14.1.1 The ARC is required to comply with the requirements of the *Privacy Act 1988* and the *Freedom of Information Act 1982*.

## **14.2 Confidentiality**

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

- a. is disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
- b. is disclosed to the ARC's personnel to enable effective management or auditing of DP or any Funding Agreement;
- c. is disclosed by the ARC to the Minister;
- d. is shared by the ARC within the ARC's organisation, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
- e. is authorised or required by law to be disclosed;
- f. is disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
- g. is in the public domain otherwise than due to a breach by the ARC of any obligation of confidence.

14.2.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material. Notwithstanding the above, and in addition to the exemptions listed at subsection 14.2.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of nominated CIs, PIs or ARC Fellows and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its intended outcomes (including the national/community benefits that are expected to arise from the research); and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

## **14.3 Project description**

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

## **14.4 Intellectual property**

14.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a project funded under DP.

14.4.2 However, all Proposals become the property of the ARC on submission. Administering Organisations submit their Proposals on the basis that the ARC may

copy, modify and otherwise deal with information contained in a Proposal (and allow any external assessor or other third party to do the same) for any purpose related to:

- a. the evaluation and assessment of Proposals;
- b. verifying the accuracy, consistency and adequacy of information contained in a Proposal, or otherwise provided to the ARC;
- c. the preparation and management of any Funding Agreement; or
- d. the administration or management of the NCGP.

14.4.3 If a Proposal contains information belonging to a third party, the Administering Organisation must ensure that it has in place all necessary consents to allow the ARC to deal with that information in accordance with these Funding Rules, prior to the Administering Organisation's submitting its Proposal.

14.4.4 Except with written approval from the ARC, all Proposals and ARC-funded research projects must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC's Web Site) and accord with any intellectual property policies of the researcher's organisation.

## **14.5 Incomplete or misleading information**

14.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.

14.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

14.5.3 If an Administering Organisation and/or researcher nominated in a Proposal as a CI, PI or ARC Fellow has provided the ARC with incomplete, unsatisfactory, inaccurate, or misleading information in relation to any Proposal for, or in the provision of advice relating to, or reporting of progress of, a project funded by the Commonwealth, the ARC may in its absolute discretion decide to not recommend the Proposal for approval and/or terminate projects involving that organisation/person if funded and require the Administering Organisation to repay some or all of the funding.

14.5.4 If the ARC considers that omissions, or inclusion of misleading information, are intentional, or if there is evidence of misconduct, the ARC may refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.

14.5.5 Examples of misleading information and misconduct are, but are not restricted to:

- a. providing fictitious track records;
- b. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted); or

- c. failing to disclose to the ARC the existence, and nature, of actual or potential conflicts of interest of any of the parties involved in the Proposal/project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the project).

## **14.6 Insurance and liabilities**

- 14.6.1 Administering Organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement. The standard Funding Agreement can be viewed on the ARC's Web Site.

## **Appendix 1: National Research Priorities and associated Priority Goals**

### **Research Priority 1: An Environmentally Sustainable Australia**

*Transforming the way we utilise our land, water, mineral and energy resources through a better understanding of human and environmental systems and the use of new technologies.*

Natural resources have traditionally fuelled our national and regional economies. They have the potential to generate further wealth and employment opportunities in the future. But our natural resources and biodiversity must be used on a sustainable basis so that the benefits continue to be enjoyed by future generations.

Australia faces significant environmental challenges:

- Efficient and sustainable water use is a critically important issue for our economic and social development;
- Significant land degradation issues, such as salinity, need to be arrested to underpin our agricultural production systems;
- Climate change can be expected to have complex, long-term consequences for the environment, for our agricultural and marine production systems and for communities; and
- The cleanliness and efficiency of our energy production systems should be enhanced.
- There is substantial effort underway to develop more efficient water utilisation practices, to protect our rivers and groundwater resources, and to protect and remediate our fragile soils.
- Our agricultural and mining industries are being transformed through the adoption of new technologies, and the development of new types of foods.

This will help to revitalise our regional communities and generate substantial export earnings for the nation over the coming decades.

The Government is committed to meeting the greenhouse gas emissions target set for Australia at Kyoto.

Australia is well placed to take an international lead in developing new and improved energy technologies and in capturing and ‘sequestering’ carbon dioxide.

Other opportunities lie in managing and using our unique, rich land- and marine-based biodiversity, and in developing our deep earth resources.

Australia has a strong record of achievement in research in fields in the natural sciences, such as agriculture, natural resource management, climate change, horticulture, forestry, mining, energy, and marine sciences, as well as in the social sciences and humanities.

We must build on these strengths to improve our competitive advantages while enhancing our understanding of natural systems and the interplay of human activities.

In particular, there needs to be an increased understanding of the contributions of human behaviour to environmental and climate change, and on appropriate adaptive responses and strategies.

To understand and manage these complex interactions better will require significant collaboration within the research community and with other stakeholders.

Priority goals for research fall in the seven areas of water utilisation, transforming resource-based industries, overcoming land degradation, developing cleaner, more efficient fuels and energy sources, managing biodiversity, deep earth resources and responding to climate change and variability.

## **Priority Goals**

- **Water – a critical resource**

*Sustainable ways of improving water productivity, using less water in agriculture and other industries, providing increased protection of rivers and groundwater and the re-use of urban and industrial waste waters.*

Australia is one of the driest continents and is dependent upon access to freshwater supplies for economic and social development. It has a complex geological structure, a highly variable climate, unique ecosystems, flora and fauna and a distinctive indigenous and settler history. Enhancing our understanding of the links between these factors and water availability will result in a better understanding of sustainable water management practices.

- **Transforming existing industries**

*New technologies for resource-based industries to deliver substantial increases in national wealth while minimising environmental impacts on land and sea.*

Resource-based industries underpin much of Australia's prosperity and have the potential to do so in the future. For example, Australia remains highly prospective for minerals discoveries and highly attractive for the development of new era foods from agricultural and marine sources. Our competitive advantage and national well being will depend on research and on the development and adoption of new technologies.

- **Overcoming soil loss, salinity and acidity**

*Identifying causes and solutions to land degradation using a multidisciplinary approach to restore land surfaces.*

The Australian landscape is fragile: soil salinity, acidity, and nutrient levels pose significant, long term challenges for agriculture and the environment. Research is helping to find solutions to these problems. For example, the National Land and Water Resources Audit shows the extent of salinity, soil erosion and soil acidification in the Australian environment and illustrates Australia's leading edge in national mapping of critical resource data. Further multidisciplinary effort is required to develop sustainable land management practices that are appropriate for Australian conditions and mitigate major land degradation processes and increase biodiversity.

- **Reducing and capturing emissions in transport and energy generation**

*Alternative transport technologies and clean combustion and efficient new power generation systems and capture and sequestration of carbon dioxide.*

Australia is well positioned to produce world class solutions to reduce and capture greenhouse gas emissions and the Government is committed to meeting the emissions target set for

Australia at Kyoto. We are also well placed to develop alternative energy technologies and ecologically sustainable transport and power generation systems.

- **Sustainable use of Australia's biodiversity**

*Managing and protecting Australia's terrestrial and marine biodiversity both for its own value and to develop long term use of ecosystem goods and services ranging from fisheries to ecotourism.*

Australia has a unique and rich flora and fauna. Many of our complex ecosystems – on which our agricultural, fisheries and tourism industries depend - have adapted to events such as drought and fire, and have been shaped by indigenous and settler management practices. There is a need for a more comprehensive understanding of these natural systems and the interplay with human activities, and the effects of management and protection measures.

- **Developing deep earth resources**

*Smart high-technology exploration methodologies, including imaging and mapping the deep earth and ocean floors, and novel efficient ways of commodity extraction and processing (examples include minerals, oil and gas) while minimising negative ecological and social impacts.*

Many of Australia's known mineral assets may be nearly exhausted within the next decade. New land-based deposits are believed to be buried deeper in the crust and the deep marine areas surrounding Australia are also largely unexplored. New technologies, such as remote sensing, indicate scientists are on the brink of being able to 'see' inside the earth and identify deeply buried deposits.

- **Responding to climate change and variability**

*Increasing our understanding of the impact of climate change and variability at the regional level across Australia, and addressing the consequences of these factors on the environment and on communities.*

Australia already has a highly variable climate, and climate change can be expected to have further significant impacts. It is important to enhance our understanding of the consequences of climate change and variability at the regional level across Australia, and the implications for the environment and for communities. It is also important to explore beneficial adaptation strategies to climate change and variability to ensure ongoing social, economic and environmental well being.

## **Research Priority 2: Promoting and Maintaining Good Health**

*Promoting good health and well being for all Australians*

Average life expectancies have increased markedly in recent decades. Australians also expect to lead longer and healthier lives in the future, and to remain productive and independent over an extended period.

Enabling individuals and families to make choices that lead to healthy, productive and fulfilling lives will yield economic and social benefits and add materially to national well being.

Australians expect that their children and grandchildren should have a healthy start to life.



Developing strategies to promote the healthy development of young Australians, and addressing the causes and reducing the impact of the genetic, social and environmental factors which diminish their life potential will be critical.

A revolution is also underway at the other end of the life cycle. Australia, like many other developed nations, is undergoing a major demographic shift involving significant growth in the aged population.

To meet this challenge, it will be important to promote healthy ageing by developing better social and medical strategies to ensure that older Australians enjoy healthy and productive lives.

Informed insights into the causes of disease and of mental and physical degeneration will contribute to the achievement of this goal.

All Australians stand to benefit from preventive healthcare through the adoption of healthier attitudes, habits and lifestyles.

Evidence-based preventive interventions may help reduce the incidence and severity of many diseases, including major health problems such as cardiovascular and neurodegenerative diseases, mental ill-health, obesity, diabetes, asthma and chronic inflammatory conditions. These could include interventions that reduce exposure to contamination of the physical environment (eg air pollution).

Improvements in the health and well being of the young, of older Australians and in preventive healthcare will be underpinned by research.

However, while Australia has an enviable record in health and medical research, the research effort is spread across the many universities, hospitals and health and medical research institutes, resulting in critical mass only in limited areas of research.

There is also a need to draw on multidisciplinary approaches that include research contributions from the social sciences and humanities.

This priority is designed to promote health and prevent disease through a more focused and collaborative effort.

Priority goals for research fall in the four areas of a healthy start to life, ageing well, ageing productively, preventive healthcare and strengthening Australia's social and economic fabric.

## **Priority Goals**

- **A healthy start to life**

*Counteracting the impact of genetic, social and environmental factors which predispose infants and children to ill health and reduce their well being and life potential.*

Human health in the developing foetus and in early childhood is critical to the future well being of the adult. Research shows that health and well being in early childhood is predictive of later positive outcomes, and that health in middle and late childhood is also crucial. This goal supports the Government's National Agenda for Early Childhood initiative.

- **Ageing well, ageing productively**

*Developing better social, medical and population health strategies to improve the mental and physical capacities of ageing people.*

Australia's population is ageing, with a significant projected increase in the number of people aged over 65 and over 85. While Australia is relatively well placed compared with many OECD nations, major shifts in cultural expectations and attitudes about ageing are necessary to respond constructively, at both an individual and population level. A healthy aged population will contribute actively to the life of the nation through participation in the labour market or through voluntary work. This goal supports the Government's National Strategy for an Ageing Australia.

- **Preventive healthcare**

*New ethical, evidence-based strategies to promote health and prevent disease through the adoption of healthier lifestyles and diet, and the development of health-promoting products.*

Preventive healthcare research will improve the prediction and prevention of disease and injury for all Australians through the adoption of healthier behaviours, lifestyles and environments. Research will generate an improvement in the design, delivery and uptake of programmes such as exercise-based rehabilitation. There are several major disease targets amenable to immediate study, such as cardiovascular health, neurodegenerative diseases, mental ill-health, obesity, diabetes, asthma and chronic inflammatory conditions. Research on prevention will emphasise interdisciplinary approaches, including research on ethics, drawing on contributions from the social sciences and humanities, as well as from the health and medical sciences. It will also focus on developing new health promoting foods and nutraceuticals. This goal supports the Government's Focus on Prevention initiative.

- **Strengthening Australia's social and economic fabric**

*Understanding and strengthening key elements of Australia's social and economic fabric to help families and individuals live healthy, productive, and fulfilling lives.*

Living in today's society involves a complex web of choices, yet many of the traditional support structures are weaker than they have been in the past. Enabling people to make choices that lead to positive pathways to self reliance and supportive family structures is more important than ever. The interactions between the social safety net, social and economic participation, financial incentives and community and private sources of support are critical in helping people maximise their potential and achieve good, healthy, lifetime outcomes. In the decade ahead, it will be vital to understand and support the drivers for workforce participation and the broader social and economic trends influencing Australian families and communities. This goal supports the Government's welfare reform and participation agendas. Research in this area will emphasise interdisciplinary approaches, drawing on contributions from the economic, behavioural and social sciences.

### **Research Priority 3: Frontier Technologies for Building and Transforming Australian Industries**

*Stimulating the growth of world-class Australian industries using innovative technologies developed from cutting-edge research.*

Progress and wealth often derive from the unforeseen application of new discoveries. Australia must be at the leading edge if it is to stay abreast of international developments and take advantage of opportunities.

Our national capabilities in emerging sciences and their underpinning disciplines determine our capacity to develop and implement new technologies. Australia has a strong base of expertise, skills and technological capacities in the fundamental sciences and key technologies.

Our strengths are in a wide range of areas such as biotechnology, material sciences, information and communications technology (ICT), photonics, nanotechnology and sensor technology.

ICT is currently the critical enabling technology and is a major contributor to national productivity and growth.

But breakthrough science underpins technological advancements in many areas and Australia needs to foster an environment that stimulates creativity and innovation.

Applications for frontier technologies are potentially very large. Australia has the capacity to exploit niche markets for new products and services.

Australia also has an enviable track record as an innovator and developer of advanced materials and must grasp the opportunity to stay ahead.

Smart information use involving improved data management, intelligent transport systems and digital media to develop creative applications for digital technologies provides huge opportunities to improve the performance of key Australian industries.

Australia needs to invest in this research area as it is fundamental to our future competitiveness and well being.

This priority will help to strengthen the capacity of Australian researchers to participate in new areas of research, enhance Australia's international scientific reputation, stimulate local expertise, and help create vibrant new industries.

A better understanding of the conditions that are conducive to innovation will ensure that Australia's investment in research will maximise the benefits for Australia.

Enhanced research effort will also be achieved through initiatives that develop a critical mass of researchers in key areas.

Priority goals for research fall in the five areas of breakthrough science, frontier technologies, advanced materials, smart information use, and promoting an innovation culture and economy.

## **Priority Goals**

- **Breakthrough science**

*Better understanding of the fundamental processes that will advance knowledge and facilitate the development of technological innovations.*

Breakthrough science underpins technological innovation across a range of industries critical to maintaining Australia's position as a developed country. Some examples include bio-, cultural- and geo-informatics, nano-assembly and quantum computing. Technological advances are often unexpected and a strong foundation in mathematics and the fundamental sciences will provide an environment that fosters creativity and innovation. Early participation in leading

edge areas of research will enable Australian researchers to benefit more fully from international developments.

- **Frontier technologies**

*Enhanced capacity in frontier technologies to power world-class industries of the future and build on Australia's strengths in research and innovation.*

The potential applications of frontier technologies across a range of industries in Australia are vast. Australia has significant capacity to exploit niche markets for new products and services emerging from frontier technologies. Australia has world-class research expertise in many such areas. Some examples include nanotechnology, biotechnology, ICT, photonics, genomics and phenomics. Also important are advanced frameworks such as complex systems in which these technologies are applied. Future directions in this priority area need to target the cutting-edge science critical for each emerging technology.

- **Advanced materials**

*Advanced materials for applications in construction, communications, transport, agriculture and medicine.*

The development of advanced materials will underpin growth in many areas of industrial and economic activity in Australia. Australia has substantial infrastructure in this area and an enviable track record as an innovator and developer of advanced materials. The era of advanced materials is just beginning, in spite of the tremendous progress in recent years. Substantial scientific and technological challenges remain ahead, including the development of more sophisticated and specialised materials. Some examples include ceramics, organics, biomaterials, smart materials and fabrics, composites, polymers, and light metals.

- **Smart information use**

*Improved data management for existing and new business applications and creative applications for digital technologies.*

ICT applications are providing huge opportunities to deliver new systems, products, business solutions, and to make more efficient use of infrastructure. Examples include e-finance, multi-media, content generation and imaging. Improved data management is central to the future competitiveness of key industries such as agriculture, biotechnology, finance, banking, education, transport, government, and health and 'info-tainment'. The ability of organisations to operate virtually and collaborate across huge distances in Australia and internationally hinges on our capabilities in this area. The media and creative industries are among the fastest growing sectors of the new economy. Research is needed to exploit the huge potential in the digital media industry.

- **Promoting an innovation culture and economy**

*Maximising Australia's creative and technological capability by understanding the factors conducive to innovation and its acceptance.*

Understanding the factors that lead to highly creative and innovative ideas and concepts, and the conditions that lead to their introduction, transfer and uptake is critical for any nation that aspires to lead the world in breakthrough science, frontier technologies, and in other forms of innovation. Promoting an innovation culture and economy requires research with a focus on developing and fostering human talent, societal and cultural values favourable to creativity and innovation, and structures and processes for encouraging and managing innovation.

#### **Research Priority 4: Safeguarding Australia**

*Safeguarding Australia from terrorism, crime, invasive diseases and pests, strengthening our understanding of Australia's place in the region and the world, and securing our infrastructure, particularly with respect to our digital systems.*

The importance of security and safety to Australia has been underscored by recent events.

Australia has to be capable of anticipating and tackling critical threats to society, strategic areas of the national economy and the environment.

The threats can potentially come from within and outside Australia.

The world is now characterised by the widespread and rapid movements of people, digitally coded data, goods and services, and exotic biological agents.

Critical infrastructure in Australia is increasingly dependent on digital technology for its management and integration.

Information protection and the integrity of security systems are now more important than ever before.

It is also necessary to protect the status of Australia as a nation free of many of the diseases affecting primary production around the world.

Terrorism has emerged as a very real global threat and crime is taking a significant toll on Australian society and economy.

Maintaining the operational advantage of Australia's defence forces through superior capabilities is also fundamental to our national security.

Enhancing our nation's understanding of social, political and cultural issues will help Australia to engage with our neighbours and the wider global community and to respond to emerging issues.

Leading edge research in Australia is already yielding high dividends and as a national research priority will improve the effectiveness of that contribution.

Stronger research capabilities will ensure that solutions are tailored to Australia's unique circumstances, reflecting its geographic features and small population.

Greater collaboration within the research community and with other stakeholders will allow us to better understand and manage potential threats to Australia.

Harnessing the knowledge and capabilities across Australia offers us the best chance of developing innovative and rapid solutions to serious threats.

Australia's international relations and its regional influence will be strengthened through new collaborative approaches and new science and technologies that enhance security and safety.

The heightened interest in personal and electronic security across the world also provides opportunities for Australian solutions.

Priority goals for research fall in the five areas of critical infrastructure, understanding our region and the world, protecting Australia from invasive diseases and pests, protecting Australia from terrorism and crime, and transformational defence technologies.

## **Priority goals**

- **Critical infrastructure**

*Protecting Australia's critical infrastructure including our financial, energy, communications, and transport systems.*

Protecting our critical infrastructure is important to national security and to the social and economic well being of Australia. An important aspect of this priority goal is e-security which is an enabler of e-commerce. Maintaining a critical mass of research in e-security will be essential in providing Australia with the tools to protect our way of life.

- **Understanding our region and the world**

*Enhancing Australia's capacity to interpret and engage with its regional and global environment through a greater understanding of languages, societies, politics and cultures.*

Social, cultural and religious issues are of growing significance due to the insecurities of globalisation and the increasing role of non-state players in the security environment. Australia's capacity to interpret and engage with its regional and global environment will be substantially improved by enhancing its research base in apposite languages, societies and cultures. An approach that enhances Australia's capacity to interpret itself to the rest of the world is also needed.

- **Protecting Australia from invasive diseases and pests**

*Counteract the impact of invasive species through the application of new technologies and by integrating approaches across agencies and jurisdictions.*

Australia is free of many of the pests and diseases affecting primary production around the world. This status needs to be protected as the introduction of exotic species has the potential to adversely affect our exports and the environment. Australia already has strong skills and expertise in this area of research and further work will offer immediate benefits to the community. A greater level of coordination of our research effort will mean that Australia can more effectively develop innovative and rapid solutions to serious threats.

- **Protecting Australia from terrorism and crime**

*By promoting a healthy and diverse research and development system that anticipates threats and supports core competencies in modern and rapid identification techniques.*

Protecting Australia from terrorism is now more important than ever before in light of recent events and our involvement in the 'war on terror'. The new threat requires a more sophisticated response which should harness Australia's research capabilities, and which will focus on all phases of counter-terrorism; prevention, preparedness, detection, response and recovery. Crime takes a significant toll on Australian society and economy. The June 2000 report from the Prime Minister's Science, Engineering and Innovation Council estimated that crime costs Australia at least \$18 billion per annum. Personal identification, information protection and the integrity of security systems are fundamental towards ensuring the national security of Australia. An effective solution will include building on Australia's existing strengths in rapid detection using new analytical technologies and managing significant data collections.

- **Transformational defence technologies**

*Transform military operations for the defence of Australia by providing superior technologies, better information and improved ways of operation.*

Australia has a small defence force to protect a large continent and a substantial maritime region of responsibility. Its operational advantage has been maintained through a superior capability which is dependent on leveraging innovative technologies. Although some benefits can be gained from overseas research, Australia has to conduct its own research to address uniquely Australian demands. A systems approach which harnesses the research capabilities of all stakeholders is essential to the successful development and introduction of innovative technologies.

## **Appendix 2: Eligible Organisations**

### **Item 1. Organisations eligible to submit Proposals for the full range of funding available in *Discovery Projects*.**

#### **New South Wales**

Charles Sturt University  
Macquarie University  
Southern Cross University  
The University of New England  
The University of New South Wales  
The University of Newcastle  
The University of Sydney  
University of Technology, Sydney  
University of Western Sydney  
University of Wollongong

#### **Victoria**

Deakin University  
La Trobe University  
Melbourne College of Divinity  
Monash University  
Royal Melbourne Institute of Technology (RMIT University)  
Swinburne University of Technology  
The University of Melbourne  
University of Ballarat  
Victoria University

#### **Queensland**

Bond University  
Central Queensland University  
Griffith University  
James Cook University  
Queensland University of Technology  
The University of Queensland  
The University of the Sunshine Coast  
University of Southern Queensland

#### **Western Australia**

Curtin University of Technology  
Edith Cowan University  
Murdoch University  
The University of Notre Dame Australia  
The University of Western Australia

#### **South Australia**

Flinders University  
The University of Adelaide  
University of South Australia

#### **Tasmania**

Australian Maritime College  
University of Tasmania



**Northern Territory**

Charles Darwin University  
Batchelor Institute of Indigenous Tertiary Education

**Australian Capital Territory**

The Australian National University  
University of Canberra

**Multi-State**

Australian Catholic University

Museums and herbaria which are Australian publicly funded organisations not directly funded to carry out research, but with research-related purposes and objectives.

**Item 2. Organisations which may submit Proposals requesting funding for salary and on-costs for APDs or QEII's only.**

Proposals containing requests only for an APD or QEII may be submitted by organisations in addition to those in Item 1. above if, in the opinion of the ARC, the organisation provides an appropriate research training environment. Examples of such organisations include, but are not limited to, Commonwealth-funded research organisations or State/Territory-funded research organisations such as:

- a. Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS);
- b. Australian Institute of Marine Science (AIMS);
- c. Australian Nuclear Science and Technology Organisation (ANSTO);
- d. Commonwealth Scientific and Industrial Research Organisation (CSIRO);
- e. Defence Science and Technology Organisation (DSTO);
- f. Geoscience Australia (GA);
- g. State/Territory Research and Development organisations; and
- h. Commonwealth-funded Research Centres which are a separate corporate entity from the Eligible Organisations listed in Item 1 above.

## Appendix 3: Notional Fellowship salaries, relocation allowances and teaching relief contributions

### Item 1. ARC Notional\* Fellowship Salaries for funding commencing in 2009

\* The figures in the table below are based on the 2008 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC's Web Site at [www.arc.gov.au/applicants/salaries.htm](http://www.arc.gov.au/applicants/salaries.htm).

| Fellowship   | Step/Option              | Salary    | 28% on-costs | TOTAL     |
|--|--------------------------|-----------|--------------|-----------|
| Australian Postdoctoral Fellowship;<br>Australian Postdoctoral Fellowship<br>Industry; | 3 year, 100% option      | \$61,399  | \$17,192     | \$78,591  |
|  | 4 year, 75/25%<br>option | \$46,049  | \$12,894     | \$58,943  |
| Indigenous Researcher Fellowship   |                          | \$61,399  | \$17,192     | \$78,591  |
| Australian Research Fellowship   | 100% option              | \$77,008  | \$21,562     | \$98,570  |
|  | 50% option               | \$38,504  | \$10,781     | \$49,285  |
| Queen Elizabeth II Fellowship  | 100% option              | \$91,578  | \$25,642     | \$117,219 |
|  | 50% option               | \$45,789  | \$12,821     | \$58,609  |
| Australian Professorial Fellowship   | Step 1 – 100% option     | \$106,146 | \$29,721     | \$135,867 |
|  | 50% option               | \$53,073  | \$14,860     | \$67,933  |
| Australian Professorial Fellowship   | Step 2 – 100% option     | \$122,797 | \$34,383     | \$157,180 |
|  | 50% option               | \$61,398  | \$17,191     | \$78,590  |
| Federation Fellowship  |                          | \$261,173 | \$73,128     | \$334,301 |
| Postgraduate Stipend   |                          | \$26,140  | -            | \$26,140  |

### Item 2. Maximum ARC Fellows Relocation Allowances

|  |           |
|--|-----------|
| North America  | \$17,000; |
| Europe/Asia (Northern Hemisphere)/Africa/South America | \$14,000; |
| Asia (Southern Hemisphere)/Oceania                     | \$11,000; |
| within Australia                                       | \$8,000.  |

Unless otherwise specified in these Funding Rules, travel associated with relocations will be funded only up to a maximum of one return economy class airfare for each person approved for relocation.

### Item 3. Notional Teaching Relief contribution (if approved)

If teaching relief is approved for a Proposal, the funding contribution for teaching relief is limited to a maximum rate of \$32,972 (2008\$) for up to 6 months in each consecutive year (or pro rata for a lesser period) per CI, (regardless of the level of appointment of the CI).

The ARC may fund justified teaching relief for up to 6 months in each consecutive year.

