



**Australian Government**

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**Australian Research Council**

## ***Discovery Projects Funding Rules for funding commencing in 2011***

*Australian Research Council Act 2001*

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I, KIM CARR, Minister for Innovation, Industry, Science and Research, 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 1 December, 2009

Minister for Innovation, Industry, Science and Research

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## Acronyms

The following acronyms are used in ARC Funding Rules\*

AAD	Australian Antarctic Division
AAO	Anglo-Australian Observatory
AEDT	Australian Eastern Daylight Saving (Summer) Time
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
APD	Australian Postdoctoral Fellowship
APDI	Australian Postdoctoral Fellowship (Industry)
APF	Australian Professorial Fellowship
ARC	Australian Research Council
ARF	Australian Research Fellowship
ARF-I	Australian Research Fellowship – Indigenous
AVCC	Australian Vice-Chancellors' Committee
CI	Chief Investigator
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DP	<i>ARC Discovery Projects</i>
DSTO	Defence Science and Technology Organisation
ECR	Early Career Researcher
GA	Geoscience Australia
GAMS	Grant Application Management System
GST	Goods and Services Tax
HECS	Higher Education Contribution Scheme
HELP	Higher Education Loan Programme
ICA	International Collaboration Award
IRF	Indigenous Researcher Fellowship
LIF	ARC Linkage Industry Fellowship
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
PI	Partner Investigator
QEII	Queen Elizabeth II Fellowship
RMS	Research Management System
SSF	<i>Super Science Fellowships</i>
UA	Universities Australia

\**Italics signify ARC Grants Schemes*

## Key Dates

<b>Closing time for Eligibility Exemption Requests</b>	<b>5.00 pm (AEDT) Friday 15 January 2010</b>
<b>Closing time for submission of Proposals</b>	<b>5.00 pm (AEDT) Wednesday 3 March 2010</b>
<b>Deadline for Requests not to Assess</b>	<b>5.00 pm (AEDT) Wednesday 3 March 2010</b>

**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:**

<b>Early Career Researcher (ECR) (Section 8.3)</b>	<b>On or after 3 March 2005</b>
<b>Australian Postdoctoral Fellowship (APD) (Section 8.7)</b>	<b>On or after 3 March 2007</b>
<b>Initial Australian Research Fellowship (ARF)/Queen Elizabeth II Fellowship (QEII) (Section 8.8)</b>	<b>On or after 3 March 2002</b>
<b>Subsequent ARF/QEII (Section 8.8)</b>	<b>On or after 3 March 1997</b>

## Contacts

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

Enquiries must be directed:

by mail to:

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

by courier to:

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

Email: [ARC-DiscoveryProjects@arc.gov.au](mailto:ARC-DiscoveryProjects@arc.gov.au)

Phone: 02 6287 6600

Fax: 02 6287 6638

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

Appeals must be addressed and sent:

by mail to:

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

or by courier to:

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

Other:

RMS User IDs:

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

## 1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Discovery Projects* Funding Rules for funding commencing in 2011.

## 2. Commencement

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

## 3. Definitions

In these Funding Rules, unless the contrary intention appears:

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

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

**Applicant** means the Administering Organisation. Funding under *Discovery Projects* 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*, or the Act.

**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 (ACPFG), the Australian Stem Cell Centre (ASCC), National ICT Australia (NICTA), and the National Centre for Groundwater Research and Training.

**ARC Fellowship** means 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), Australian Research Fellowship – Indigenous (ARF-I), Queen Elizabeth II Fellowship (QEII), Australian Professorial Fellowship (APF), Australian Postdoctoral Fellowship (Industry) (APDI), Linkage Industry Fellowship (LIF), ARC Centre Fellowship, Federation Fellowship, Future Fellowship, Australian Laureate Fellowship, Indigenous Researcher Fellowship (IRF) and Super Science Fellowship (SSF).

**ARC Discovery Projects Executive Director** means the occupant, from time to time, of the position of Scheme Coordinator (ARC *Discovery Projects*) in the Australian Research Council, or any other person to whom the administration of the ARC *Discovery Projects* scheme may be allocated.

**Australian Laureate Fellow** means a researcher whose salary is funded under the ARC *Australian Laureate Fellowships* scheme.

**ARC website** is <http://www.arc.gov.au>.

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

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

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

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

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

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

**Collaborating Organisation** means any organisation 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, Commonwealth Research Centres and National Health and Medical Research Council (NHMRC) Program Grants and Centres of Clinical Research Excellence. It does not include Research Networks funded by the ARC.

**Conflict of Interest** means an actual or perceived conflict between a person's public duty and their private or personal interest.

**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 8.3.

**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 researcher as specified in Section 8.3.

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

**Eligibility Exemption Request** means a request submitted by an Applicant to the ARC for a relaxation of the eligibility requirements for defined situations stipulated in the Funding Rules.

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

**Future Fellow** means a researcher whose salary is funded under the ARC *Future Fellowships* 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.

**International Collaboration Awards** means awards available under the *Discovery Projects* scheme for CI/Fellows(s), as well as PI(s) living overseas, to fund international travel between Australia and an overseas location, and associated costs to work on a project.

**Indigenous Researcher Fellow** means a researcher whose salary is wholly or partly funded under an IRF (under the *Discovery Indigenous Researchers Development* scheme).

**Medical and Dental Research** means research and/or training which, in the opinion of the ARC, have a significant focus on near-term clinical medical (including dental) outcomes as defined on the ARC website.

**Minister** means the Minister from time to time responsible for the administration of the ARC Act, or the Minister’s delegate.

**National Innovation Priority** means a national innovation priority as detailed on the ARC website.

**National Research Priority** means a national research priority as detailed on the ARC website.

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

**Project** means a project, including individual fellowships, approved by the Minister for funding.

**Project Leader** means the first-named researcher nominated on a Proposal who is a CI or ARC Fellow.

**Proposal** means a request to the ARC for the provision of financial assistance for a research project which is submitted in accordance with Funding Rules approved by the Minister.

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

**Special Studies Program** means an approved program providing release from normal duties for research related activity or professional development purposes.

## **4. Introduction**

### **4.1 Overview and NCGP Objectives**

- 4.1.1 This document sets out the Funding Rules for *Discovery Projects*, a scheme funded under the ARC 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 draft Funding Agreement (which is available on the ARC website) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.
- 4.1.3 Funding under *Discovery Projects* 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.
- 4.1.4 These Funding Rules are current as at November 2009 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 or supplementation of the ARC Act.
- 4.1.5 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, to provide policy advice related to research, and to evaluate the quality of university research.
- 4.1.6 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 website.

- 4.1.7 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;
  - 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.
  - f. support the development of the National Innovation System by promoting the National Innovation Priorities relevant for NCGP. Descriptions of the National Innovation Priorities can be found on the ARC website.
- 4.1.8 Descriptions of the National Research Priorities and their associated Priority Goals can be found on the ARC website.

## 4.2 Discovery Projects

- 4.2.1 *Discovery Projects*, which recognises the importance of fundamental research to the national innovation system, supports research undertaken by individual researchers or research teams.
- 4.2.2 The objectives of *Discovery Projects* 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. encourage research and research training in high-quality research environments;
  - e. enhance international collaboration in research; and
  - f. foster the international competitiveness of Australian research.
- 4.2.3 *Discovery Projects* 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.
- ## 4.3 Selection Criteria
- 4.3.1 All *Discovery Projects* Proposals which meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:
- a. Investigator(s) (40%)
    - research opportunity and performance evidence
    - capacity to undertake the proposed research

b. Proposed project content

- i. Significance and innovation (30%)
- does the research address a significant academic problem?
  - do the Proposal's aims and concepts advance the knowledge base? How will the anticipated outcomes advance the knowledge base of the discipline?
  - does the research have a conceptual framework?
  - will new methods or technologies be developed?
  - will the proposed project contribute significantly to the advancement of knowledge in one or more areas of national research priority and/or the advancement of knowledge into Indigenous Australian societies?
- ii. Approach (20%)
- are the design, methods and analyses adequately developed, well integrated and appropriate to the aims and conceptual framework 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?

#### 4.4 Fellowships

There are limited numbers of Fellowships available for funding. The recommending of Fellowships is at the discretion of the ARC, having regard to the excellence of the Fellowship candidate's research opportunity and performance evidence and the excellence of the research project. 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.

#### 4.5 ECR-Only Proposals

- 4.5.1 The ARC has identified funds within *Discovery Projects* specifically for funding Proposals where Chief Investigators identified them as ECR-Only Proposals. These identified funds may be used to support ECR-Only Proposals, identified as such by the applicant, which the ARC considers are of sufficient quality to be recommended for approval.

## **4.6 Conflict of Interest**

- 4.6.1 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 all Collaborating Organisations), any conflict of interest which has the potential to influence, or to appear to influence, the request for funding, or the research and activities, publications and media reports 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.
- 4.6.2 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.
- 4.6.3 If a conflict of interest exists or arises, the Administering Organisation must have documented processes in place for managing the conflict of interest for the duration of the project. Such processes must comply with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research (2007)* and any relevant successor document. In the event of any inconsistency between the original and any successor document, the latter document is to apply.

## **5. Changes from Last Year**

- 5.1 A number of clarifications and revisions have been made in these Funding Rules for funding commencing in 2011 (the 2011 *Discovery Projects Funding Rules*). Significant changes from the 2010 *Discovery Projects Funding Rules* include:
- a. The sections on applying for Eligibility Exemption Requests for consideration of whether the Proposal comprises medical and dental research have been deleted;
  - b. The definition of medical and dental research has been clarified and elaborated and is available on the ARC website;
  - c. The Administering Organisation is required to assess the Proposal as to whether it is near-term clinical medical (including dental) research as defined on the ARC website, and that it does not overlap with research to be funded or is funded by the NHMRC. By submitting the Proposal through the relevant Officer, the Administering Organisation will certify that the Proposal is not research that has near-term clinical medical (including dental) outcomes and does not overlap with medical and dental research funded by or to be funded by the NHMRC (subsection 11.6.2);
  - d. Proposals are to be submitted through the online Research Management System (RMS) (Section 11);
  - e. The Administering Organisation is required to certify that the research does not overlap with research funded by a Centre funded by the Commonwealth (Section 9.3). A letter from the Centre Director is no longer required;
  - f. The incorporation of the seven National Innovation Priorities (subsection 4.1.7.f);
  - g. Applications for the relaxation of timing of Australian Postdoctoral Fellowship will not be approved if the applicant was awarded their PhD 10 or more years ago (subsection 8.6.2);

- h. Applications for the relaxation of timing for ARF/QEII's will not be approved if the applicant is seeking a relaxation of time beyond 15 years for the first ARF/QEII and beyond 20 years if it is for the second ARF/QEII;
- i. In order to enhance research into Indigenous Australian societies, advancement of knowledge into Indigenous Australian societies is listed as a research priority (subsection 4.3.1.b);
- j. The Administering Organisation is no longer required to obtain handwritten signatures to attest to the agreement of all parties necessary to allow the proposed project to proceed. Instead, the Administering Organisation will certify that they have obtained the agreement of all parties necessary to allow the proposed project to proceed through RMS (subsection 10.2.4), except from the employing organisation of overseas partner investigators who are not employed by an Administering Organisation. The ARC reserves the right to seek the evidence from the Administering Organisation to support the certification of Proposals (subsection 11.6.3);
- k. Overseas Partner Investigators who are not employed by an Administering Organisation do not need to provide certification from their employing organisations (subsection 10.2.5);
- l. Track Record has been replaced by Research opportunity and performance evidence (subsection 4.3.1);
- m. Preference will be given for ICAs to PIs living overseas;
- n. Hardcopies of Proposals, Eligibility Exemption Requests, and Requests not to Assess are no longer required. These documents should be submitted in electronic format only;
- o. Preference may be given to ARF/QEII candidates who have not previously been awarded an ARF/QEII and preference may be given to APF candidates who have not previously been awarded an APF, Federation Fellow or an Australian Laureate Fellow;
- p. 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 *Discovery Projects* project, in addition to her/his Fellowship activities. She/he is eligible to apply for project costs unless the host organisation is listed at Section C1.3 (subsections 6.6.2.j, 8.6.7 and 8.6.8).

5.2 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 *Discovery Projects* funding round is \$20,000 per year of funding and the maximum is \$500,000 per year of funding.

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 D.

6.1.4 The ARC reserves the right to recommend funding for a project at levels which may differ from those requested in the Proposal.

## **6.2 Period of Funding**

6.2.1 Funding may be payable under these Funding Rules for *Discovery Projects* in respect of the financial year 2010-11 and any subsequent years to which the ARC Act applies. Funding for approved projects will commence with effect 1 January 2011, unless other arrangements are approved by the Minister.

6.2.2 Projects may be funded for 1 to 5 years, subject to sufficient funding being available for *Discovery Projects*, the provisions of the ARC Act, and continued satisfactory progress of the project.

6.2.3 APDs may be awarded funding for 3 years (100%) or 4 years (75%). ARFs, QEIIs, and APFs will be awarded funding for 5 years.

6.2.4 For the purposes of these Funding Rules, the term of a research 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 2011, 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, *Discovery Projects* 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 *Discovery Projects*:

- a. personnel (salaries and on-costs), including:
  - i. ARC Fellowships as outlined in Section 8.6;
  - ii. research associates, technicians and laboratory attendants;
  - iii. PhD stipends;

but excluding those items not permitted pursuant to subsections 6.4.2.b and 6.4.2.e;

- b. teaching relief for Chief Investigators, but only where the request is well justified (see subsection 6.4.2.c);
- c. equipment;
- d. maintenance;
- e. access to workshop services linked to and justified explicitly against the project (e.g. machine tools and qualified technicians available to each member of staff, according to need, for research);
- f. the following travel costs:
  - i. domestic and international travel costs for CIs, ARC Fellows and research support personnel. Funding is permitted for domestic and international travel associated with the project, including to foster and strengthen collaborations between researchers in Australia and overseas;
  - ii. PIs living overseas may be funded to travel to and from Australia to work on the project to a maximum of once per annum provided the travel is fully justified against the project to the satisfaction of the ARC;
  - iii. domestic travel costs for PIs visiting from overseas to work on the project;
- g. International Collaboration Awards (ICAs) as outlined in Section 8.2.

## 6.4 Restrictions on Budget Items

- 6.4.1 *Discovery Projects* will not fund budget items which do not directly support a research project. The ARC may in its absolute discretion determine whether any proposed costs meet this requirement.
- 6.4.2 *Discovery Projects* has restrictions on the following budget items:
  - a. **Capital works and general infrastructure costs** are not funded by the ARC, in whole or in part, under *Discovery Projects*.
  - b. The Commonwealth will not provide support, in whole or in part, to meet the **salaries of CIs or PIs** under *Discovery Projects*. If a Proposal requests salary funding for a CI or PI, the Proposal will not be recommended or approved for funding.
  - c. *Discovery Projects* 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 by the selection advisory committee at the time of assessment of the Proposal. 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 D subsection D1.3, and will be a Special Condition.
  - d. Funds are not provided for any travel or related expenses for researchers when on a **Special Studies Program**.
  - e. Funds are not provided to pay the **fees of international students** or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students.
  - f. The Administering Organisation must agree to provide the following **basic facilities** (where relevant to the Proposal), which will not be funded under *Discovery Projects*:

- i. accommodation (e.g. laboratory and office, suitably equipped and furnished in standard ways);
  - ii. access to film or music editing facilities;
  - iii. access to a basic library collection;
  - iv. standard reference materials or funds for abstracting services;
  - v. provision of computers, including laptops (excluding access to high-performance computers or other specialised applications that are justified against the project) and basic computing facilities such as printers, word processing and other standard software; and
  - vi. use of photocopiers, telephones, mail, fax, email and internet services.
- g. Publication costs, including printing and page costs, will not be funded under *Discovery Projects*.
  - h. 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 *Discovery Projects* does not support:

- a. medical and dental research – see Section 9.4.
- 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;
- 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 which is judged to be necessary, in which case the Proposal must include a detailed basis for, and statement indicating, the research objectives to which the data would contribute and provide the specific research questions to be addressed based on their significance and academic argument; 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 detailed basis for, and statement indicating, the research objectives to which these activities would contribute and provide the specific research questions to be addressed based on their significance and academic argument.

6.5.2 If the ARC considers that a Proposal seeks funding for 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 that 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 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 2011 (see subsection 6.6.2). For the

purposes of applying these limits, the number of Proposals and ongoing research projects are evaluated as at the closing time of submission of Proposals. This timing is 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 8.8.5.b and 8.9.4). 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.

6.6.2 Specific limits on number of projects funded for 2011:

<b>Limit type</b>	<b>Limit description</b>
a. CI/Fellow limit	A researcher may not be involved in more than two <i>Discovery Projects</i> on which he/she is a CI or ARC <i>Discovery Projects</i> Fellow regardless of the number of PIs.
b. Sole CI/Fellow limit	A researcher may not be involved as a CI or ARC Fellow on more than one <i>Discovery Projects</i> 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 <i>Discovery Projects</i> .
d. Limit for Specified Personnel/Nominated Participants for ARC Centres (CIs, Centre Directors, Centre Managers)	<ul style="list-style-type: none"> <li>• Subject to subsection 6.6.2.e, a researcher who is one of the Specified Personnel* for an ARC Centre may be involved in one <i>Discovery Projects</i> project.</li> <li>• A researcher who holds or has applied for two ARC <i>Discovery Projects</i> (as a CI or Fellow) and has applied for an ARC Centre as a Nominated Participant** must, if they are successful in being offered the ARC Centre, relinquish one <i>Discovery Project</i> in order to accept the offer of the Centre.</li> </ul> <p>* 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.</p> <p>**For the purposes of these Funding Rules, the term “Nominated Participants” means the researchers named on an ARC Centre Proposal, excluding any PIs and including the Centre Director, Research Director, Centre Manager and Chief Investigators who would become the Specified Personnel and perform the work of the Centre pursuant to a funding agreement for the Centre.</p>
e. Federation Fellow limit	A Federation Fellow may be involved in up to two <i>Discovery Projects</i> (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. Australian Laureate Fellow limit	An Australian Laureate Fellow may not be involved as a Chief Investigator in more than one ARC <i>Discovery Projects</i> project after 31 December 2010 and for the duration of the Australian Laureate Fellowship.
g. Number of <i>Discovery Projects</i> Fellowships	A researcher may be nominated for a maximum of one ARC <i>Discovery Projects</i> Fellowship in this <i>Discovery Projects</i> funding round.
h. Future Fellow limit	An ARC Future Fellow may be involved in up to two <i>Discovery Projects</i> (one may be as a sole CI) in addition to her/his ARC Future Fellowship.
i. Super Science Fellow limit	An ARC Super Science Fellow may be involved in up to two <i>Discovery Projects</i> (one may be as a sole CI) in addition to her/his ARC Super Science Fellowship, subject to subsection 6.6.2.d.
j. 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 <i>Discovery Projects</i> project, in addition to her/his Fellowship activities. She/he is not eligible to apply for project costs if the host organisation is listed at Section C1.3(subsection 8.6.8).

6.6.3 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.

## 6.7 Duplication

6.7.1 Only one Proposal may be submitted to *Discovery Projects* in respect of a particular project in the same funding round, regardless of any variation in the listed researchers and/or Administering Organisation. Otherwise, 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.

6.7.2 A Proposal may not be submitted if it is essentially the same as an eligible Proposal submitted in the *Discovery Projects* funding round conducted in 2009 and that latter Proposal was ranked in the bottom group (i.e. E). If the ARC considers that a Proposal is for essentially the same project as an eligible Proposal submitted in the previous round which was ranked in the bottom group (i.e. E), the ARC may in its absolute discretion decide to not recommend the latter Proposal for approval.

## **7. Organisational Types, Roles and Eligibility**

### **7.1 Eligible Organisations**

- 7.1.1 A Proposal may be submitted only by an Eligible Organisation. Appendix C specifies Eligible Organisations for *Discovery Projects*.
- 7.1.2 ARC Fellowships offered under *Discovery Projects* may be undertaken at Eligible Organisations specified in Appendix C subsection C1.1 and C1.2. In addition to these organisations, Proposals containing requests for salary and on-costs for APDs and QEIIIs only may be submitted by other organisations if, in the opinion of the ARC, the organisation provides an appropriate research training environment (see Appendix C subsection C1.3).
- 7.1.3 No funding will be provided for any costs other than APD or QEII salary and on-costs for the organisations specified in Appendix C subsection C1.3.

## **8. Roles and Eligibility for Researchers**

### **8.1 Researcher Roles and General Eligibility**

- 8.1.1 Roles that may be undertaken by researchers under *Discovery Projects* are:
- a. Chief Investigator (CI);
  - b. Partner Investigator (PI); or
  - c. ARC Fellow:
    - i. Australian Postdoctoral Fellow (APD);
    - ii. Australian Research Fellow (ARF) /Queen Elizabeth II (QEII) Fellow; or
    - iii. Australian Professorial Fellow (APF).
- 8.1.2 A researcher nominated in a Proposal with any of the roles above may also be identified in a Proposal by the applicant as having Early Career Researcher (ECR) status (Section 8.3). ECR is not a researcher role.
- 8.1.3 A Proposal must nominate at least one of the following: a CI or APD or 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.
- 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'.
- 8.1.6 A researcher nominated as a CI, PI or ARC Fellow must take significant intellectual responsibility for the conduct of the proposed project and for 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 carrying out the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. 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 8.4, 8.5 or 8.6 for the role which that researcher is to perform, the Proposal will not be recommended or approved for funding.

## **8.2 International Collaboration Awards**

- 8.2.1 International Collaboration Awards (ICAs) provide opportunities to build collaborations among researchers, research teams and/or research centres in Australia and overseas and thereby build Australia's international research capability.
- 8.2.2 A Proposal for a CI/Fellow to work on the project in an overseas research organisation must identify at least one PI at that location on their Proposal.
- 8.2.3 ICAs may be awarded to:
- a. CIs/Fellows to work in overseas research organisations on the project with PIs living overseas; and
  - b. PIs living overseas to work in Australia on the project with CIs/Fellows.
- Preference will be given for funding ICAs to PIs living overseas.
- 8.2.4 ICAs are not for funding travel to Australia by PIs located at an overseas campus of an Australian Eligible Organisation.
- 8.2.5 ICAs fund international travel and associated costs. CIs/Fellows, or PIs living overseas, nominated on a Proposal may apply for an ICA in order to work together on the project. Requests for ICAs must be fully justified against the project on which the CI(s)/Fellow(s) and PI(s) will collaborate.
- 8.2.6 ICAs are available for a minimum duration of 1 month and a maximum duration of 6 months, for a maximum of 1 per CI or Fellow or overseas PI per year of the project. Appendix D subsection D1.4 specifies the level of ICA funding available to be requested.
- 8.2.7 ICAs comprise funding for the following items: travel on one international return economy class airfare, reasonable local travel, a living allowance available for periods from a minimum of 1 month up to a maximum of 6 months, and consumables. The living allowance should be based on standard institutional rates for academic visitors.

## **8.3 Early Career Researchers**

- 8.3.1 Early Career Researcher (ECR) means a researcher who has been identified in the Proposal as having a PhD awarded on or after 3 March 2005. If a researcher does not satisfy this criterion but considers herself or himself to have equivalent research degree or experience of similar duration and wishes to be identified and nominated as having ECR status, a case must be presented within the Proposal. The ARC reserves the right to determine the ECR status of researchers based on the case presented within the Proposal.
- 8.3.2 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.

## **8.4 Eligibility Criteria for Chief Investigators**

- 8.4.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at 1 January 2011, and for the full term of her/his participation in the project:

- a. be an employee of an Eligible Organisation listed in Appendix C subsection C1.1 and C1.2 for at least half-time (i.e., 50 per cent of her/his time per Full Time Equivalent); or
  - b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation listed in Appendix C subsection C1.1 and C1.2 and not be employed more than half-time (i.e., 50 per cent of her/his time per Full Time Equivalent) in a position at another organisation that:
    - i. is outside the higher education sector, and
    - ii. engages in research which is funded predominantly from state/territory or Commonwealth Government funding sources. Such organisations are listed in, but not limited to those in, Appendix C subsection C1.3. Others may include Commonwealth-funded Research Centres which are outside the higher education sector, state/territory Research and Development organisations, and research areas within a government entity; or
  - c. be a Federation Fellow; or
  - d. be an Australian Laureate Fellow at an Eligible Organisation listed in Appendix C subsection C1.1 and C1.2.
- 8.4.2 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.
- 8.4.3 Notwithstanding a researcher's eligibility under the criteria above or below in this Section, researchers in the following categories cannot be eligible to be CIs if:
- a. undertaking undergraduate studies; or
  - b. undertaking postgraduate studies unless eligible to be a CI under 8.4.1.
- 8.4.4 If a Proposal has been approved for funding and a CI is at any time during the project no longer able to work as proposed on the project, the project may be continued under a replacement CI provided that:
- a. where the CI was the Project Leader, another investigator who was an original CI on the Proposal may become the Project Leader;
  - b. the project still includes at least one other investigator who was an original CI on the Proposal and the replacement CI is first approved by the ARC.
- 8.4.5 The project must be terminated where there are no other investigators who were original CIs remaining on the Proposal. Sole CI projects cannot be continued under replacement CIs.
- 8.5 Eligibility Criteria for Partner Investigators**
- 8.5.1 To be eligible to be nominated as a PI on a Proposal, a researcher must:
- a. not meet the eligibility criteria specified in Section 8.4 for a CI;
  - b. secure a significant contribution of cash, or 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.

8.5.2 A researcher who is an employee of an Eligible Organisation listed in Appendix C subsection C1.1 and C1.2 and does not reside predominantly in Australia may be a PI.

## **8.6 General Eligibility Criteria for Fellowships**

8.6.1 There are a number of different types of Fellowship available. Fellowship candidates must meet the criteria for CIs in subsection 8.4.2, plus the eligibility criteria for the Fellowship type being sought as detailed below.

8.6.2 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 as 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.

8.6.3 The Eligibility Exemption Request must contain supporting information justifying the special circumstances of the Fellowship candidate for an eligibility exemption, including information indicating that the candidate has a research degree or experience 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 carer responsibilities or misadventure.

8.6.4 For the purposes of an Eligibility Exemption Request for relaxation of the timing requirements, the choice of a non-research career for three or more years will not be considered a valid reason for a research career interruption.

8.6.5 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.

8.6.6 Unless otherwise specified in these Funding Rules, Proposals requesting a Fellowship must be made on the basis that the Fellow will conduct research 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 periods of time.

8.6.7 Subject to subsection 8.6.8, a researcher who holds or is nominated for an ARC Fellowship undertaking research which forms a part of a Commonwealth-funded Research Centre's research activities must demonstrate in the budget justification the need for any additional project costs that would normally be funded by the Centre. Proposals requesting such Fellowships must confirm as part of certification that the project costs do not duplicate Commonwealth funding. If the ARC considers that project costs which are or will be supported by the Centre given its research program and its level of funding are requested from the ARC, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

8.6.8 A researcher who holds or is nominated for an ARC Fellowship undertaking research at a host organisations listed at Section C1.3 is not eligible to apply for project costs. Project costs must be paid for by the Centre. Proposals requesting such Fellowships must confirm as part of certification that the Fellow, if successful, will have her/his research costs funded by the Centre for research on the proposed project.

## **8.7 Eligibility Criteria for Australian Postdoctoral Fellowships (APDs)**

- 8.7.1 APDs provide opportunities for researchers at the postdoctoral level to undertake research of national and international significance, and to broaden their research experience.
- 8.7.2 A Proposal may seek funding for an APD only if:
- a. the Fellowship candidate has been awarded a PhD on or after 3 March 2007 or has obtained approval from the ARC, via the submission of an Eligibility Exemption Request as 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. Irrespective of this condition, applications for the relaxation of the timing will not occur if the applicant was awarded their PhD 10 or more years ago; or
  - b. the Fellowship candidate has not yet submitted a PhD thesis but is expected to do so before the end of 2010, in which case the ARC will require official confirmation that the thesis has been submitted by 31 December 2010. 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.
- 8.7.3 A researcher who has held an Indigenous Researcher Fellowship (IRF) may be nominated for an APD only during, or after, the final year of her/his IRF.

### Tenure details and salary support entitlements for APDs

- 8.7.4 The notional ARC salary support for APDs is set out in Appendix D.
- 8.7.5 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.

## **8.8 Eligibility Criteria for Australian Research Fellowships and Queen Elizabeth II Fellowships (ARF/QEII)**

- 8.8.1 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.
- 8.8.2 While researchers may be proposed for the general ARF/QEII category, the level of appointment which may be recommended is at the discretion of the ARC (see Appendix D for ARF/QEII salary support).

- 8.8.3 An ARF/QEII candidate must, at the closing time for the submission of Proposals, satisfy the requirements of subsection 6.6.2 with respect to limits regarding number of projects, taking into account proposed relinquished Fellowships for those seeking a subsequent ARF/QEII (see subsection 8.8.5.b).
- 8.8.4 An ARF/QEII candidate who has not been previously awarded an ARF/QEII must, at the closing time for submission of Proposals, have not had 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 as outlined in Section 10.1, for recognition of an equivalent research degree or experience and/or relaxation of the qualification and/or timing requirements. Irrespective of this condition, applications for the relaxation of the timing for professional experience for ARF/QEII will not be approved if the applicant is seeking a relaxation of time beyond 15 years for the first ARF/QEII and beyond 20 years if it is for the second ARF/QEII.
- 8.8.5 An ARF/QEII candidate who has been previously awarded an ARF or QEII must, at the closing time for the submission of Proposals:
- a. have not had 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, recognition of an equivalent research degree or experience and/or relaxation of the qualification and/or timing requirements. Irrespective of this condition, applications for the relaxation of the timing for ARF/QEII will not be approved if the applicant is seeking a relaxation of time for professional experience beyond 20 years if it is for the second ARF/QEII;
  - b. 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 2011; or
    - ii. unexpended by the relevant Administering Organisation as at 1 January 2011,

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.
- 8.8.6 If a Proposal for a subsequent ARF/QEII is successful, the continuation after 31 December 2010 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.
- 8.8.7 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 for ARFs/QEII
- 8.8.8 ARFs and QEII 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.
- 8.8.9 Funding will be provided for ARFs/QEII for 5 years. The notional ARC salary support for ARFs/QEII is set out in Appendix D.

- 8.8.10 Salary support for ARFs/QEIIIs 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 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.
- 8.8.11 Preference may be given to ARF/QEII candidates who have not previously been awarded an ARF/QEII.
- 8.9 Eligibility Criteria for Australian Professorial Fellowships (APFs)**
- 8.9.1 APFs provide opportunities for outstanding researchers with proven international reputations to undertake research that is both of major significance in its field and of important benefit to Australia. APF candidates who hold a continuing position at an Eligible Organisation listed in Appendix C subsection C1.1 must demonstrate that the award of the APF will substantially enhance their capacity to undertake research.
- 8.9.2 APFs are available in two options – 100 per cent salary plus on-costs and 50 per cent salary plus pro-rata on-costs.
- 8.9.3 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 6.6.2 in regard to 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 8.9.4;
  - c. not hold a continuing research-only position as a Professor or equivalent at an Eligible Organisation listed in Appendix C subsection C1.1 and C1.2; and
  - d. if holding 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).
- 8.9.4 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 2011; or
  - b. unexpended by the relevant Administering Organisation as at 1 January 2011,
- 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.

8.9.5 The continuation after 31 December 2010 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 for APF

8.9.6 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 which may include supervision of postgraduate students.

8.9.7 Funding will be provided for APFs for 5 years. The notional ARC salary support for APFs is set out in Appendix D.

8.9.8 **100 per cent salary plus on-costs.** 100 per cent salary support for APFs may be requested, and funded, only as follows:

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 per cent option must:

- a. not have held an APF or Federation Fellowship previously, and;  
either
- b. 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 after 31 December 2008 (see subsection 6.2.4 regarding the “term” of a fellowship);  
or
- c. be proposing to move employment to an Eligible Organisation specified in Appendix C subsection C1.1 and C1.2 from an organisation which is not specified in Appendix C subsection C1.1 and C1.2.

8.9.9 Notwithstanding the above, the ARC will consider 100 per cent salary for potential candidates who can demonstrate exceptional circumstances that have precluded them from having held an ARF/QEII or equivalent. These are most likely to be carer responsibilities that have caused career interruptions. In such instances, the candidate must submit an Eligibility Exemption Request, as outlined in Section 10.1, justifying their special circumstances.

8.9.10 The ARC will not consider Eligibility Exemption Requests for relaxation of timings for fellowships which ceased after 31 December 2008 as required in subsection 8.9.8.b.

8.9.11 **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 per cent salary support option must still work on their research on a full-time basis.

8.9.12 Preference may be given to APF candidates who have not previously been awarded an APF, a Federation Fellow or an Australian Laureate Fellow.

## 9. Cross-scheme Issues

## **9.1 Cross-scheme Eligibility**

- 9.1.1 Applicants should note the eligibility criteria for access to other ARC funding schemes, as expressed in the funding rules for those schemes. The ARC reserves the right to change these criteria in future funding rounds. Funding rules for all ARC schemes may be found on the ARC website.
- 9.1.2 If a researcher nominated as a CI, PI or ARC Fellow on a Proposal is named in a funding request for any proposed research project (including fellowship, salary or equipment) that has been submitted or approved 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. 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 *Discovery Projects* Proposal for approval.
- 9.1.3 If a nominated researcher has been awarded, or is currently requesting, an ARC Fellowship under another ARC 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.
- 9.1.4 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.

## **9.2 Non-duplication and Cross-scheme Funding**

- 9.2.1 The ARC will not duplicate financial assistance for research, including infrastructure, 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.

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

- 9.3.1 Funding will not be provided for research already funded by a Commonwealth-funded Research Centre or which will 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 or will be undertaken by a Commonwealth-funded Research Centre.
- 9.3.2 The Administering Organisation must certify that the Proposal does not duplicate the work of a Commonwealth-funded Research Centre or will not be supported by the Centre given its research program and its level of funding.
- 9.3.3 If the ARC considers any information contained in the *Discovery Projects* Proposal, the certification, 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.

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

- 9.4.1 Pursuant to subsection 6.5.1.a and Section 9.4, the ARC does not fund near-term clinical medical (including dental) outcomes as described on the ARC's website under *Discovery Projects*. 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. The Administering Organisation must assess whether the Proposal constitutes near-term clinical medical (including dental) outcomes. If it does, the Proposal cannot be submitted to the ARC.
- 9.4.3 The Administering Organisation must certify that the Proposal does not constitute medical and dental research as defined on the ARC website.
- 9.4.4 The ARC reserves the right to determine at its absolute discretion conclusively whether:
- a. proposed research involves medical and dental research; and
  - b. the expected outcomes of a proposed project are likely to have significant relevance or application beyond the medical and dental context.
- 9.4.5 A Proposal may be ineligible if it deals substantially with any of the following areas of research:
- a. Using human subjects to test the clinical efficacy of a diagnostic or therapeutic agent or medically applicable device or material;
  - b. Using material collected from human subjects for the purpose of studying disease prevalence, epidemiology or mode of inheritance;
  - c. Observation or treatment of human patients for clinical medical or dental purposes; and
  - d. Prevention of disease by medical and/or dental intervention in human subjects.
- 9.4.6 If the Administering Organisation submits, or is intending to submit, Proposals to the ARC and the NHMRC for similar research, it must cross-reference the Proposals and must declare the dual submission on the ARC online application form.
- 9.4.7 In all cases whether or not the above process is observed, the ARC may in its absolute discretion decide whether a proposed project, or elements of a project, fall within the area of medical and dental research.

## **10. Application Process**

### **10.1 Eligibility Exemption**

- 10.1.1 Subsections 8.6.2.b, 8.7.2.a, 8.8.4, 8.8.5.a, 8.9.3, 8.9.8, 8.9.9 and 8.9.10 of these Funding Rules describe the defined situations where it is possible to submit an Eligibility Exemption Request for the purposes of obtaining an exemption from the ARC regarding a prospective Proposal. All such Requests must be submitted on the ARC Eligibility Exemption Request Form through the ARC online Research Management System and, subject to subsection 10.1.2, be received by the ARC by: **5:00 pm (AEDT) Friday 15 January 2010.**
- 10.1.2 Eligibility Exemption Requests received after **5:00 pm (AEDT) Friday 15 January 2010** will not be considered. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late Eligibility Exemption Requests.

- 10.1.3 An exemption from the eligibility requirements may be granted only if an Eligibility Exemption Request has been submitted.
- 10.1.4 Eligibility Exemption must include all relevant supporting documentation. The Research Office will be advised of the outcome of any such request as soon as possible. If an Eligibility Exemption is given, the ARC will provide an identifying number for the exemption/advice which is to be quoted on the relevant Proposal.
- 10.1.5 The ARC Eligibility Exemption Request Form is available on the ARC website.

## **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, including its selection advisory committees. Additional information must not be submitted and may, at the absolute discretion of the ARC, result in the Proposal being ruled ineligible.
- 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 being assessed under the ARC peer assessment procedures and agree to the release of the Proposal to third parties for assessment purposes.
- 10.2.4 The Administering Organisation must certify that they have obtained the agreement of all parties necessary to allow the proposed project to proceed.
- 10.2.5 Overseas Partner Investigators do not need to provide certification by their employing organisation.
- 10.2.6 If the certification of all parties necessary to allow the proposed project to proceed is inaccurate, false, or misleading the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

## **11. Submission of Proposals**

### **11.1 Submission of Proposals in RMS**

- 11.1.1 Administering Organisations must submit Proposals through the ARC online Research Management System unless otherwise advised.

### **11.2 Proposal Content**

- 11.2.1 Proposals consist of an online form, which must be completed and submitted in the RMS, accessible via the ARC website. The RMS online form may include the following additional text which, if included, must be attached in PDF format to the online version of the Proposal:
  - a. Project Description;
  - b. Budget Justifications;
  - c. Research record relative to opportunities;
  - d. Details of research support; and
  - e. Statements on progress of ARC-funded projects.

### **11.3 Format in RMS**

- 11.3.1 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 *Discovery Projects Instructions to Applicants for Funding Commencing in 2011* 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.
- 11.3.2 All pages of additional text must be uploaded in PDF format. Text must be in black type, use a single column and 12-point font size on white A4 paper, with all margins being at least 0.5 cm. A highly legible font type must be used, preferably 12-point Times New Roman or else Arial, Courier, Palatino, and Helvetica subject to them being an equivalent sized font to Times new Roman 12-point font . Variants such as mathematical typesetting fonts may also be used. References may be reproduced in 10-point font size. Colour graphs or colour photographs should not be included. Researchers should note that for some administrative purposes Proposals may 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. Additional text attachments may appear slightly reduced in size due to the RMS system formatting the attachments to include page numbers. Attached PDFs should be directly generated rather than scanned to maximise the quality of reproduction. The ARC reserves the right to seek an original electronic copy of the Proposal to determine that the text meets the requirements stipulated.

#### **11.4 How to Complete and Submit a Proposal in RMS**

- 11.4.1 Administering Organisations must complete and submit their Proposal using the online form within RMS which is accessible via the ARC website.
- 11.4.2 *A Discovery Projects Instructions to Applicants for Funding Commencing in 2011* document will be available from the ARC website. This document specifies a range of requirements for Proposals and also assists parties in preparing Proposals.
- 11.4.3 Research Offices with RMS access will approve requests for RMS User Accounts, along with the ARC approving requests, to enable researchers at their organisations to access RMS and prepare Proposals. If a researcher has previously been allocated access to GAMS and cannot access RMS, they should email [rms@arc.gov.au](mailto:rms@arc.gov.au) for assistance.
- 11.4.4 If a researcher does not have a Research Office or equivalent unit, he/she should email [rms@arc.gov.au](mailto:rms@arc.gov.au) at the ARC for assistance.
- 11.4.5 If an Eligible Organisation does not have a Research Office unit, staff from the organisation should email [rms@arc.gov.au](mailto:rms@arc.gov.au) for assistance.

#### **11.5 Closing Time for Proposals in RMS**

- 11.5.1 The online form completed using RMS must be submitted by **5.00 pm (AEDT) Wednesday 3 March 2010**.
- 11.5.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- 11.5.3 Proposals may be withdrawn up until Thursday 19 August 2010.
- 11.5.4 Participants should note that Administering Organisations may have internal closing times for Proposal preparation that precede ARC closing times.

## **11.6 Certification in RMS**

- 11.6.1 The Administering Organisation must certify Proposals online in RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals for their organisation.
- 11.6.2 The certification in RMS includes, but is not limited to, statements that:
- a. the Proposal does not duplicate the work of a Commonwealth-funded Research Centre or will not be supported by the Centre given its research program and its level of funding (subsection 9.3.2);
  - b. the Proposal does not constitute medical and dental research as defined on the ARC website (subsection 9.4.3); and
  - c. the Administering Organisation has the agreement of all parties necessary to allow the proposed project to proceed apart from the employing organisation of overseas Partner Investigators (unless they are employees of the Administering Organisation).
- 11.6.3 The ARC reserves the right at any point in the process to seek the evidence from the Administering Organisation to support the certification of Proposals.
- 11.6.4 A Proposal must be submitted through the appropriate Research Office. The Administering Organisation must certify Proposals online in RMS. 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.

## **12. Selection and Approval Process**

### **12.1 Assessment and Selection Process**

- 12.1.1 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 recommending that a Proposal not be approved for funding;
  - 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.
- 12.1.2 ARC selection advisory committees assist with the assessment of Proposals. The ARC has procedures for managing organisational and personal Conflicts of Interest experienced by members of selection advisory committees, 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.

- 12.1.3 In addition to assessment by the ARC, a Proposal may at the absolute discretion of the ARC 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.
- 12.1.4 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.
- 12.1.5 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal on a 'Request not to Assess' form available from the ARC website. Such notifications must contain detailed justification and be submitted electronically 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 sent to the email address advised under 'Contacts' at the beginning of these Funding Rules and received by the ARC by the closing time for Proposals, **5:00 pm (AEDT), Wednesday 3 March 2010**.
- 12.1.6 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.

## **12.2 Rejoinder**

- 12.2.1 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 12.2.2, 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 online Research Management System.
- 12.2.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late rejoinders.

## **12.3 Recommendations and Offer of Funding**

- 12.3.1 In accordance with the ARC Act, the CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of financial assistance to be paid to Administering Organisations for approved Proposals.
- 12.3.2 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.
- 12.3.3 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the financial assistance to be offered and provided with a copy of a Funding Agreement for signing.

## **12.4 Exclusion of Proposals**

- 12.4.1 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 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 8.8.10 and 8.9.8) or if the Proposal seeks project costs which are not available (subsection 8.6.8);
- c. if the Proposal is not submitted by an Eligible Organisation (Section 7.1);
- d. if the Proposal does 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 Sections 8.4, 8.5 or 8.6 for the role which that researcher is to perform (subsection 8.1.8);
- f. if the ARC determines that a proposed project falls within the area of near-term clinical medical (including dental) research as described on the ARC website (subsection 6.5.1.a and Section 9.4);
- g. if a Proposal has not been submitted in RMS through the appropriate Research Office/Chief Executive Officer for certification (Section 11.6); or
- h. if the Proposal is not for a program of research, or a program that supports the conduct of a program of research.

12.4.2 The ARC may in its absolute discretion decide to not 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, or all obligations regarding previously funded projects involving the candidate have not been fulfilled to the satisfaction of the ARC and NHMRC;
- b. in the opinion of the ARC, any party involved in or associated with the Proposal or ARC-funded research project has failed to disclose to the ARC, or any other parties involved in the Proposal, 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 4.6.2);
- c. the Proposal seeks 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 6.6.2);
- 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 6.7.1);
- f. the ARC considers that the Proposal is for essentially the same project as an eligible Proposal submitted in the *Discovery Projects* funding round conducted in 2009 and that latter Proposal was ranked in group E (subsection 6.7.2);
- g. in the opinion of the ARC, the Proposal duplicates or is likely to duplicate research already being funded, or which is likely to be funded, by the Commonwealth (subsections 9.2.1 and 9.3.1);

- h. where required the Proposal does not include details of other funding or funding requests (subsection 9.1.2);
- i. 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 have provided the ARC with incomplete, inaccurate or misleading information in relation to the provision of advice relating to, or in the reporting of progress of, a funded project (subsections 9.1.2, 9.4.4, 10.2.5 and Appendix A subsections A1.8.2 and A1.8.3);
- j. the online part of the Proposal is not submitted via RMS (Sections 11.1, 11.4 and 11.6) by the closing time (Section 11.5);
- k. the circumstances of a Proposal are such that an eligibility exemption is required but the required process has not been followed (Section 10.1); or
- l. the Proposal fails to meet any format and other submission requirements (Section 11).

### **13. Appeals Process**

- 13.1.1 Appeals will be considered only against administrative process issues and not, for example, against committee recommendations or assessor ratings and comments.
- 13.1.2 Appeals must be made on the appeals form available from the ARC website. 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.
- 13.1.3 Appeals must be addressed and sent to the address advised under 'Contacts' at the beginning of these Funding Rules.

## Fundamental Principles and Requirements

### A1.1 Ethics and Research Practices

A1.1.1 The NHMRC website, [www.nhmrc.gov.au](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.

A1.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

### A1.2 Acknowledging ARC support

A1.2.1 The 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.

A1.2.2 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC website.

### A1.3 Dissemination of Research Outputs

A1.3.1 The Commonwealth 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.

A1.3.2 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 endeavours to ensure the widest possible dissemination of the research supported under its funding, in the most effective manner and at the earliest opportunity.

A1.3.3 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.

#### **A1.4 Applicable Law**

A1.4.1 The ARC is required to comply with the requirements of the *Privacy Act 1988* and the *Freedom of Information Act 1982*.

#### **A1.5 Confidentiality**

A1.5.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:

- a. disclosed by the ARC to its 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. disclosed to the ARC's personnel to enable effective management or auditing of the ARC *Discovery Projects* scheme or any Funding Agreement;
- c. disclosed by the ARC to the Minister;
- d. shared by the ARC within the Agency, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
- e. authorised or required by law to be disclosed;
- f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
- g. in the public domain other than due to a breach by the ARC of any obligation of confidence.

A1.5.2 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.

A1.5.3 Notwithstanding the above, and in addition to the exemptions listed at Appendix A subsection A1.5.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of the 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).

#### **A1.6 Project Description**

A1.6.1 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.

## **A1.7 Intellectual Property**

- A1.7.1 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 ARC *Discovery Projects* scheme.
- A1.7.2 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 National Competitive Grants Program.
- A1.7.3 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 submitting its Proposal.
- A1.7.4 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 website) and accord with any intellectual property policies of the researcher's organisations.

## **A1.8 Incomplete or Misleading Information**

- A1.8.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- A1.8.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- A1.8.3 If an Administering Organisation and/or the researcher nominated in a Proposal has provided the ARC with incomplete, 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.
- A1.8.4 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.
- A1.8.5 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);

- c. making false certifications in the RMS certification; or
- d. 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).

**A1.9 Insurance and Liabilities**

A1.9.1 Administering Organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement.

### Administration of Funding

#### **B1.1 Funding Agreement**

- B1.1.1 All parties involved in a Proposal should familiarise themselves with the draft 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.
- B1.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of the Funding Agreement.
- B1.1.3 Administering Organisations should note that the Funding Agreement covers the post-award management, including reporting requirements and financial management. The draft Funding Agreement can be viewed on the ARC website.
- B1.1.4 Institutions for overseas Partner Investigators do not need to provide signed written agreement.

#### **B1.2 Varying the Funding Agreement**

- B1.2.1 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 website. Amendment of any clauses of the Funding Agreement will be at the absolute discretion of the ARC.

#### **B1.3 Varying the funding approval**

- B1.3.1 Requests to vary the funding approval must be forwarded in writing by the Administering Organisation's Research Office to the ARC.
- B1.3.2 The funding approval may be varied in regard to the amount of financial assistance, the period of financial assistance, and/or the name of the organisation receiving financial assistance.
- B1.3.3 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; or
  - d. 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 ARC *Discovery Projects* scheme objectives.

#### **B1.4 Reports**

- B1.4.1 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.

### Eligible Organisations

#### C1.1 Higher Education Organisations Eligible to Submit Proposals

##### **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**

The Flinders University of South Australia  
The University of Adelaide  
University of South Australia

##### **Tasmania**

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

### **C1.2 Other Organisations Eligible to Submit Proposals**

Australian Institute of Aboriginal and Torres Strait Islander Studies  
(AIATSIS)

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

### **C1.3 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 C1.1 and C1.2 above if, in the opinion of the ARC, the organisation provides an appropriate research training environment. Such organisations would normally be at least 50 per cent owned or controlled by the Commonwealth or state or territory government. The ARC reserves the right to determine at its absolute discretion whether an organisation meets these criteria. Examples of such organisations are:

- a. Australian Antarctic Division (AAD)
- b. Australian Institute of Marine Science (AIMS);
- c. Anglo-Australian Observatory (AAO);
- d. Australian Nuclear Science and Technology Organisation (ANSTO);
- e. Commonwealth Scientific and Industrial Research Organisation (CSIRO);
- f. Defence Science and Technology Organisation (DSTO);
- g. Geoscience Australia (GA); and
- h. Commonwealth-funded Research Centres which are a separate corporate entity from the Eligible Organisations listed in C1.1 above.

## Appendix D

### Notional Fellowship Salaries, Relocation Allowances and Teaching Relief Contributions

#### D1.1 ARC Notional\* Fellowship Salaries for Funding Commencing in 2011

\* The figures in the table below are based on the 2010 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC website at [www.arc.gov.au/applicants/salaries.htm](http://www.arc.gov.au/applicants/salaries.htm).

Fellowship	Step/Option	Salary	28% on-costs	TOTAL
Australian Postdoctoral Fellowship	3 year, 100% option	\$63,942	\$17,904	\$81,846
	4 year, 75/25% option	\$47,956	\$13,428	\$61,384
Australian Postdoctoral Fellowship Industry				
Indigenous Researcher Fellowship	100% option	\$63,942	\$17,904	\$81,846
	50% option	\$31,971	\$8,952	\$40,923
Australian Research Fellowship	100% option	\$80,198	\$22,456	\$102,654
	50% option	\$40,099	\$11,228	\$51,327
Australian Research Fellowship – Indigenous	100% option	\$80,198	\$22,456	\$102,654
Queen Elizabeth II Fellowship	100% option	\$95,371	\$26,705	\$122,076
	50% option	\$47,685	\$13,353	\$61,038
Australian Professorial Fellowship	Step 1 – 100% option	\$110,543	\$30,953	\$141,496
	50% option	\$55,271	\$15,477	\$70,748
Australian Professorial Fellowship	Step 2 – 100% option	\$127,884	\$35,808	\$163,692
	50% option	\$63,942	\$17,904	\$81,846
Future Fellowship	Step 1	\$98,935	\$27,703	\$126,638
	Step 2	\$119,764	\$33,534	\$153,298
	Step 3	\$140,592	\$39,366	\$179,958
Australian Laureate Fellowship	ARC Salary Supplement	\$104,142	\$29,160	\$133,302
Super Science Fellowship		\$72,500	\$20,300	\$92,800

#### D1.2 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.

#### D1.3 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 \$34,338 (2010\$) 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.

**D1.4 International Collaboration Award**

If an ICA is approved for a Proposal, the funding contribution is limited to a maximum rate of \$40,000 for up to six months, which may be pro-rated for a lesser period as per the table below, for funding commencing in 2011.

<b>Length of Time</b>	<b>Amount</b>
6 months	\$40,000
5 months	\$33,000
4 months	\$26,000
3 months	\$20,000
2 months	\$13,000
1 month	\$6,500