



Australian Government

Australian Research Council

Federation Fellowships

**Funding Rules for Funding Commencing in
2006**

Australian Research Council
Federation Fellowship
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Acronyms

The following acronyms are used in ARC Funding Rules.

AEST	Australian Eastern Standard Time
AEDT	Australian Eastern Daylight Saving (Summer) Time
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
APA	Australian Postgraduate Award
APAI	Australian Postgraduate Award (Industry)
APD	Australian Postdoctoral Fellowship
APDC	Australian Postdoctoral Fellowship (CSIRO)
APDI	Australian Postdoctoral Fellowship (Industry)
APF	Australian Professorial Fellowship
ARC	Australian Research Council
ARCIF	Australian Research Council International Fellowship
ARF	Australian Research Fellowship
AVCC	Australian Vice-Chancellors' Committee
CoE	College of Experts
CI	Chief Investigator
CRC	Cooperative Research Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DSTO	Defence Science and Technology Organisation
ECR	Early Career Researcher
ERISS	Environmental Research Institute of the Supervising Scientist
GA	Geoscience Australia
GAMS	Grant Application Management System
GST	Goods and Services Tax
HECS	Higher Education Contribution Scheme
KCTR	Key Centre for Teaching and Research
LASP	Learned Academies Special Projects
LIEF	Linkage Infrastructure Equipment and Facilities Program
LIF	Linkage Industry Fellowship
NC	Network Convenor
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
NP	Network Participant
PI	Partner Investigator
QEII	Queen Elizabeth II Fellowship
SPIRT	Strategic Partnerships with Industry – Research and Training
SRC	Special Research Centres
URL	Universal Resource Locator

Key Dates

Closing Date for applications - **Friday 14 October 2005, 5.00pm AEST.**

Deadline for letters requesting non-use of an assessor – **Friday 14 October 2005, 5.00pm AEST.**

Contacts

The ARC deals with many thousands of applications each year. Where possible, applicants should direct requests for information to the Research Office or similar unit within their organisation.

Enquiries about the Federation Fellowships scheme may be addressed to:

Co-ordinator
Federation Fellowships
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

Email: ncgp@arc.gov.au
Phone: +61 2 6284 6600
Fax: +61 2 6284 6638
Web: www.arc.gov.au

Australian Research Council
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1. Introduction

This document sets out the Funding Rules for *Federation Fellowships*, a scheme funded under the Australian Research Council's National Competitive Grants Program (NCGP), which comply with the requirements of the *Australian Research Council Act 2001* (the ARC Act).

Applicants should read and understand the entire Funding Rules and the ARC's standard Funding Agreement [which is available at www.arc.gov.au] before submitting an application to the ARC. Applicants are responsible for ensuring that their applications are complete and accurate.

1.1. NCGP Objectives

The Australian Research Council (ARC) is an Australian Government statutory authority established under the *Australian Research Council Act 2001* (the ARC Act). The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer funding to support research programs, and to provide policy advice related to research and research training.

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 web site at www.arc.gov.au.

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 inter-disciplinary approaches to research and research training;
- d. Facilitate collaborative approaches to research and research training; and
- e. Support research and research training in the following National Research Priority Areas:
 - i. An Environmentally Sustainable Australia;
 - ii. Promoting and Maintaining Good Health;
 - iii. Frontier Technologies for Building and Transforming Australian Industries; and
 - iv. Safeguarding Australia.

Full descriptions of these National Research Priority Areas and their associated Priority Goals can be found in Appendix 1, and on the ARC web site (www.arc.gov.au). Assessment of the degree to which a proposed project would contribute to National Research Priority Areas and Priority Goals may be used as part of the selection process in NCGP schemes.

1.2. Federation Fellowships

Federation Fellowships reflects the Australian Research Council's commitment to support excellence in research by attracting world-class researchers to key positions, and creating new rewards and incentives for the application of their talents in Australia.

Federation Fellowships aims to:

- a. attract and retain outstanding researchers of international renown;
- b. build and strengthen world-class research capability in Australia;
- c. expand Australia's knowledge base by supporting ground-breaking, internationally competitive research;
- d. forge strong links among researchers, industry and the international research community; and
- e. support research that will result in economic, environmental, social or cultural benefits for Australia.

Open to applications from outstanding international researchers, *Federation Fellowships* particularly encourages applications from Australian and non-Australian researchers currently working overseas.

A clear preference will be given to early- to mid-career researchers who will play a leadership role in building Australia's internationally competitive research capacity.

Up to 25 *Federation Fellowships* with a standard tenure of five years will be awarded for funding commencing in 2006.

These Funding Rules are written on the basis that it is the researcher who is the applicant. However, grants from the ARC are made to eligible organisations, not to the individual researchers.

1.3. Fundamental Principles and Requirements

1.3.1. Ethics and Research Practices

The National Health and Medical Research Council (NHMRC) website, <http://www.nhmrc.gov.au>, provides a series of publications which outline the principles of ethical conduct in research. All research proposals should conform with the principles outlined in the Joint NHMRC/AVCC Statement and Guidelines on Research Practice (1997) and, as applicable, the NHMRC's National Statement on Ethical Conduct in Research Involving Humans and the principles outlined in the NHMRC's codes on animal research (or their successor documents if applicable).

1.3.2. Duplication

The ARC will not duplicate financial assistance for research already funded by the Commonwealth.

1.3.3. Conflict of Interest

All applicants associated with ARC funding proposals have an obligation to disclose affiliations with or financial involvement in any organisation with a direct interest in the subject matter or outputs of the researchers. Researchers have an obligation to disclose at the time of applying for an ARC grant, or reporting on it, any conflict of interest which has the potential to influence their research and investigations, publication and media reports, or grant applications.

1.3.4. Acknowledging ARC support

The ARC requires that research funded by the ARC will be appropriately acknowledged. When, at any time during or after completion of a project, the organisation or researcher publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the project and/or Fellowship, the organisation or researcher shall acknowledge, at a prominent place in the publication, the support of the ARC in a form acceptable to the ARC. Similar efforts should be made to acknowledge ARC support when participating in television and radio programs, and when interviewed by the print media.

Advice on acceptable forms of acknowledgement and use of the logo is provided on the ARC website at www.arc.gov.au.

2. Changes from last year

Several changes from the 2005 Federation Fellowship Funding Rules are listed below:

- a. Section 3.1: The eligibility criteria for start-up grants have been modified;
- b. Section 5.1: Holders of Federation Fellowships may apply under this or any future Federation Fellowship rounds only during or after the penultimate year of their Federation Fellowship;
- c. Section 7.2: Referee Reports must be submitted through the ARC's web site (see Instructions to Applicants for Funding commencing in 2006);
- d. Section 7.2: It is the responsibility of the applicant to provide her or his nominated referees with a copy of the application submitted to the ARC;
- e. Section 8.1: There is a clarification of the selection criterion relating to the Investigator.

3. Funding

3.1. Level of Funding

Successful Federation Fellows will attract salary commensurate with internationally competitive salaries to help attract and retain key researchers in Australia. At \$A246,290 per annum (2005 dollars) plus 26% on-costs, these Fellowships provide salaries substantially higher than those payable under other Fellowship Schemes in the ARC's National Competitive Grants Program.

3.1.1. Start-up Project Grant

In addition to salary support, the ARC may provide some successful applicants with a start-up project grant of up to \$400,000.

Successful applicants who immediately prior to the closing date for applications:

- a. did not hold an ARC *Discovery Projects* or *Linkage Projects* grant; and
- b. were not eligible to be a Chief Investigator in the most recent ARC *Discovery Projects* round (for funding commencing in 2006) or in the ARC *Linkage Projects* application rounds (both rounds for funding commencing in 2006)

are eligible to apply for a start-up project grant in addition to salary support.

An applicant must describe and justify in her or his application the amount of any start-up support requested from the ARC. This support, if approved, is to assist researchers who may not otherwise have been able to work on their proposed project as expeditiously as those researchers with ongoing access to significant resources at their proposed host organisation.

The amount of any start-up project grant and when it is given to a successful applicant are at the discretion of the Minister.

3.2. Duration of funding

The Federation Fellowships have a standard tenure of five years, subject to Parliamentary appropriations and continued satisfactory performance.

3.3. Types of research supported

Federation Fellowships supports excellent 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. It 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. It 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.

3.4. Areas of investigation/work not supported

Federation Fellowships does not support the following work:

- a. clinical medical and dental research;
- b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, designs and literary works, for

which Australian Government support is provided through the Australia Council for the Arts;

- c. scholarly investigations that, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Projects such as uncritical biographical compilations and purely descriptive catalogues or editions that do not involve original research are not funded;
- d. production of teaching materials, even though some research may be involved in their production;
- e. compilation of data, unless an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which the data would contribute;
- f. development of research aids and tools (including computer programs), unless they form an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute.

3.5. Number of grants and applications

In any application round, the ARC will consider no more than one application for a Federation Fellowship from any one researcher, regardless of any variation in the proposed administering institution or organisation.

4. Organisational types, roles and eligibility

4.1. Eligible Organisations

The Fellowships are tenable at eligible organisations only on a full-time basis (see Appendix 2).

4.2. Host Organisations for Fellows

The administering or host organisation will be required to certify its agreement to provide a high level of support, including facilities, access to support requirements such as qualified technicians, all library services and any equipment necessary for the conduct of the research. Administering organisations will be required to show their commitment to the Fellow by providing a detailed submission for their contributions towards the Fellowship which could include cash and in-kind support (Part E of the application form).

The package of administrative support and facilities must be adequate and appropriate to support the research plan put forward in the application. The commitment of funds for postgraduate students and post-doctoral researchers to work with the Federation Fellowship holder should form a significant part of the package of matching support.

The level of guaranteed support must at least match the financial assistance (in salary) provided by the Commonwealth over the life of the Fellowship. There is no requirement for matching funding with respect to any start-up project grant offered by the ARC to successful applicants.

5. Investigator Eligibility

5.1. Eligibility criteria for Federation Fellows

Successful applicants will be distinguished researchers who are at the forefront of international research. They will have leadership skills and experience in building research capacity, and will propose ground-breaking research programs likely to deliver significant economic, environmental, social and cultural benefits to Australia.

Federation Fellowships is open to applications from qualified researchers currently working in Australia or overseas. Applications are particularly encouraged from Australian researchers currently working overseas and non-Australian researchers currently working overseas.

A clear preference will be given to early- to mid-career researchers who will play a leadership role in building Australia's internationally-competitive research capacity.

Up to five *Federation Fellowships* may be awarded to researchers who are not Australian citizens or permanent residents, but who can demonstrate that the Fellowship would be of national benefit to Australia. These applicants should demonstrate special expertise, extensive skills or exceptionally high performance levels, and the ability to build Australian research capacity by facilitating the transfer of critical knowledge to Australia and Australians.

Federation Fellows must reside predominantly in Australia for the full term of the Fellowship. If a successful applicant does not have permanent resident status he/she must obtain temporary resident status from the Department of Immigration and Multicultural and Indigenous Affairs before taking up the Fellowship.

Although applicants are required to reside predominantly in Australia, it is expected that the holders of *Federation Fellowships* will pursue research that is at the international leading edge in their field. To facilitate this aim, Federation Fellows may undertake periods of research overseas. The option of approved periods overseas for Federation Fellowship holders is available when the applicant clearly demonstrates this is in the best interests of the research and its outcomes, and of national benefit to Australia. Periods overseas of up to two years in total during the period of award may be approved.

Researchers supported by the NHMRC are eligible to apply for *Federation Fellowships* subject to the above conditions. However, the ARC does not support clinical research in either medicine or dentistry (see Item 3.4).

Individual researchers with both continuing and non-continuing appointments are eligible to apply for *Federation Fellowships*. Successful applicants are expected to relinquish their existing positions before taking up the Fellowship.

Federation Fellows are expected to work full-time on research and research capacity-building activities. While a Fellow's principal duty is to undertake research, it is also important to specify the role he/she would be expected to play within the administering organisation. Research capacity-building activities could include

research leadership in teams and centres and supervision of postgraduate students, but do not include a major role in administration.

Holders of *Federation Fellowships* may apply under this or any future Federation Fellowship rounds only during or after the penultimate year of their Federation Fellowship.

6. Cross-scheme funding

6.1. Cross-scheme eligibility

If a funding request for any project, salary or equipment is being submitted to another ARC scheme or to any other funding body, each application must be cross-referenced. Applicants must indicate the level of funding obtained, or being sought, from all other schemes and must list all existing research funding from all sources. If these processes are not observed, the *Federation Fellowships* application may be deemed ineligible.

Successful applicants will be required to relinquish any current Fellowships before accepting a Federation Fellowship. This applies to all ARC Fellowships and any other Fellowship held from another funding body.

Federation Fellowship holders are eligible to hold the maximum number of grants in all other ARC schemes. This includes (but is not exclusive to) two *Discovery Projects* and four concurrent *Linkage Projects* grants and four concurrent *Linkage Projects* which have funding for APAIs only.

Directors of Research Centres, including ARC Centres of Excellence, Special Research Centres and Key Centres for Teaching and Research, are eligible to apply for *Federation Fellowships*. A Federation Fellow may serve as a Centre Director or Centre Executive Research Director, provided that the ARC is satisfied that he/she will work full-time on research and research capacity-building activities.

7. Application process

7.1. Applications

Applicants must submit their proposal as a mature plan ready for implementation. The application must contain all the information necessary for assessment of the project without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC. All details in the application must be current at the time of submission.

Applications must not be marked commercial-in-confidence as they cannot be assessed under the ARC procedures for peer assessment.

7.2. Referees' Reports

Applicants may nominate up to four referees, who have agreed to provide a confidential report to the ARC. The quality and standing of the referees as well as their comments will be taken into account in the assessment of applications. It is the responsibility of the applicant to provide her or his nominated referees with a copy of the application submitted to the ARC.

Referee Reports must be submitted through the ARC's web site (See Instructions to Applicants for Funding commencing in 2006).

Applicants will need to provide the name and contact details, including an email address, for each of their nominated referees. The ARC will ask nominated referees to provide direct to the ARC an assessment of the application against the selection criteria (see Instructions to Applicants for Funding commencing in 2006). Should the applicant's nominated Referees fail to provide a report, the ARC may not take follow-up action to obtain the report.

The ARC may seek reports from referees other than those nominated by the applicants.

7.3. Certification

It is the responsibility of the administering institution or organisation to obtain the signature of the participant named at Part B of the application form. The signature is to be retained by the administering institution or organisation which must provide these certifications if requested. A pro forma is available for this purpose on the ARC web site (www.arc.gov.au).

7.4. Submission of applications

Applications under *Federation Fellowships* consist of three parts:

1. Application form (including Referees' contact details): to be completed in Grant Application Management System (GAMS);
2. Additional text: Sections B8, C2 and Part D; and
3. supporting documentation Part E.

7.4.1. Application format

All documents must be written in English and must comply strictly with the format and submission requirements.

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

7.4.2. Application form and instructions to applicants

Applicants must use the application form produced by GAMS at the ARC web site (www.arc.gov.au).

The application form is organised into five modules:

- Part A Administrative summary
- Part B Personnel
- Part C Research Support

Part D Description of Project/Program of Research

Part E Description of Facilities and Support by Administering Institution or Organisation

Applicants should note that a separate document, *Federation Fellowships: Instructions to Applicants for Funding Commencing in 2006*, will be available from www.arc.gov.au to assist in preparing applications.

7.4.3. How to complete and submit applications

Federation Fellowships application forms are produced using the ARC's web-based GAMS. Applicants applying through a higher education organisation should submit their applications through the Research Office by the higher education organisation's closing date. Higher education organisation Research Offices have access to GAMS and will allocate GAMS User IDs and passwords to enable applicants at those higher education organisations to access the system and create application forms. If an applicant has previously been allocated access to GAMS, her or his User ID and password should still be current.

Researchers applying through organisations other than a higher education organisation should complete their application forms using GAMS. Organisations should identify a GAMS Contact who should contact the ARC directly. The ARC will assist the GAMS Contact to gain access to the system and to create applications. Higher education organisation Research Offices and other administering organisations should submit the application form in GAMS and forward the full paper application.

Applications should be sent:

by mail, to

Co-ordinator
Federation Fellowships
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or

by courier, to
Co-ordinator
Federation Fellowships
Australian Research Council
Geoscience Australia Building
cnr Jerrabomberra Ave and Hindmarsh Drive
SYMONSTON ACT 2609

7.4.4. Number of copies

An original and one identical paper copy only are required. The application must be clipped with NAL clips, not stapled. The application form should be submitted with the additional text, including supporting documentation, interleaved appropriately and the pages numbered sequentially starting at the beginning of the application (see *Federation Fellowships: Instructions to Applicants for Funding Commencing in 2006*).

7.4.5. Closing date for applications

Paper originals of the applications for *Federation Fellowships* must be received by the ARC, and the application form, completed using GAMS, must be submitted by 5.00 pm (AEST) **Friday 14 October 2005**. Applications may be withdrawn but may not be changed after submission. Additions, deletions and modifications will not be accepted after submission. Applications received after 5.00 pm (AEST) Friday 14 October 2005 will not be accepted. The ARC may, in its absolute discretion and only in exceptional circumstances, accept late applications.

8. Selection and approval process

8.1. Selection criteria

The selection criteria for Fellowships are:

- **Investigator** **(50%)**
 - outstanding research track record
 - consideration should be given to opportunities the applicant has had to attain this level of achievement.
 - leadership ability to build world-class research capacity
 - what is the applicant's capability to undertake ground-breaking research and leadership over the term of the proposed project?

- **Project/Program of research activity** **(30%)**
 - significance and innovation
 - does the research address an important problem?
 - how will the anticipated outcomes advance the knowledge base?
 - are the project aims and concepts novel and innovative?
 - will new methods or technologies be developed?
 - approach
 - are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the project?
 - appropriateness of support in matching funds
 - is the package of administrative support and facilities adequate to support the research plan put forward in the application?
 - does the package include funding for postgraduate students and post-doctoral researchers to work with the Federation Fellow?

- **National benefit** **(20%)**
 - how will the research build world-class capacity in Australia ?
 - what is the potential for the research to contribute to the National Research Priorities?
 - how does the research program enhance innovation in Australia?

- is the project/program likely to expand Australia's knowledge base and research capability?
- does the project/program build and sustain a world-class research team and linkages?
- what is the potential of the research project to result in economic, environmental, social and/or cultural benefits for Australia?

Institution or organisational support

The strength of institutional or organisational commitment will be a determining factor in the granting of Federation Fellowships. A statement detailing the support that the institution or organisation will be providing is necessary (Refer to section 4.2 and Part E of application form).

National Research Priorities

A preference may be exercised in favour of applications lying in the National Research Priorities.

8.2. Assessment and selection procedure

Assessment of applications is undertaken by the ARC's Federation Fellowships Selection Advisory Committee, which has the right to make recommendations solely on the basis of its expertise, and which may:

- a. recommend exclusion of ineligible applications;
- b. seek reports from referees nominated in the application;
- c. seek reports from referees other than those nominated by the applicants;
- d. seek advice from members of the ARC's College of Experts;
- e. rank each application relative to the others on the basis of the application, referees' reports and advice from members of the ARC's College of Experts;
- f. assess and recommend budgets; and
- g. prepare funding recommendations that are submitted to the ARC Board.

The ARC has procedures for managing any institutional/organisational and personal conflicts of interest experienced by Committee members, and for enabling members to withdraw from the assessment process of particular applications.

8.2.1. Exclusion

Exclusion of ineligible applications may take place at any time during the selection process. Applications which contravene the Funding Rules in any material way may be excluded. The ARC will determine if the breach of the Funding Rules has a potential material impact on the assessment of the application. If it is so determined the application will be included. Grounds for exclusion include, but are not limited to:

- a. failing to submit the application through the appropriate Research Office/Chief Executive Officer for certification;
- b. exceeding the limits on the number of applications permissible;

- c. not meeting the eligibility criteria;
- d. providing incomplete, inaccurate or misleading information (refer to section 11.5); or
- e. designating all or any part of the application as 'commercial-in-confidence'.

8.2.2. Assignment of assessors

Each application not initially excluded may be assessed by a number of external assessors. Assessors for each discipline grouping will be drawn from a range of organisations to minimise potential conflicts of interest. Applications will be assessed against the selection criteria and the reports by the assessors must include written comment.

Although an effort will be made to obtain external assessments, the ARC reserves the right to make decisions and recommendations based on any number of assessments or solely on the assessment of the ARC.

Applicants may name any person whom they do not wish to assess the application. Detailed written justification, which will be considered by the ARC, must be submitted through the administering organisation's Research Office, in a separate letter, and it must not accompany the application. The letter must be received by the closing date for applications, **Friday 14 October 2005**, and be sent to:

Coordinator
Federation Fellowships
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

The ARC will consider the justification put forward by an applicant to exclude any person as an assessor. However, the ARC may not give effect to an applicant's request.

8.2.3. Recommendations

The Committee's recommendations are submitted to the ARC Board and, subject to its views, to the Minister for Education, Science and Training for approval. The Minister determines which applications will be offered funding.

8.3. Offer of Fellowship

Successful administering organisations will be notified in a letter of offer that will indicate the funding to be provided and any special conditions that may apply, such as temporary overseas residency.

9. Appeals process

Appeals will be considered only against process issues and not against committee recommendations or assessor ratings and comments. Appeals must be made on the appeals form available from the ARC website (www.arc.gov.au).

The form must be lodged through the administering organisation's Research Office, and be received within 28 days of the date on the letter notifying the outcome of applications, by:

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

10. Administration of Funding

10.1. Funding Agreement

A Fellowship may not begin, nor may funding assistance be expended, before the Funding Agreement is signed by the administering organisation and the ARC.

Successful applicants should familiarise themselves with the draft Funding Agreement. They must accept the terms of the Funding Agreement and the administering organisation must sign the Funding Agreement before funds can be paid.

Fellowships must commence as required by the Funding Agreement. Failure to do so will result in termination of funding.

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 (www.arc.gov.au).

10.1.1. Varying the Funding Agreement

Requests to vary the Funding Agreement must be forwarded in writing by the organisation's Research Office, or equivalent, to the ARC. Forms are available for variation requests on the ARC website (www.arc.gov.au).

10.1.2. Varying the Funding Approval

Requests to vary the Funding Approval must be forwarded in writing by the administering organisation's Research Office to the ARC. The Funding Approval may be varied by varying the duration and/or amount of financial assistance and the name of the organisation receiving financial assistance. The Funding Approval may be varied where:

- a. the organisation's involvement with the research program ends or substantially changes;
- b. the research program changes so that it is no longer consistent with the description in the Funding Approval;
- c. any of the collaborating partner organisations involved in the research program end or substantially change their involvement with the program.

10.1.3. Reports

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

11. Other matters

11.1. Applicable law

The ARC is required to comply with the requirements of the *Privacy Act 1988* and the *Freedom of Information Act 1982*. Information about the *Privacy Act 1988* is available at <http://www.privacy.gov.au/act/index.html>.

11.2. Confidentiality

Information contained in applications is regarded as confidential unless otherwise stated and, subject to the need to provide applications to assessors, and statutory requirements for the ARC to provide information to Parliament and other organisations, applications will be received and treated as confidential.

Notwithstanding the above, the ARC may publicise and report offers or awards of funding, including information about the proposed research, the name and institution or organisation of any applicant, the identity of the administering institution or organisation, and any other institution or organisation involved in the project, the title and summary descriptions of the project and its intended outcomes, and the level and nature of financial assistance from the ARC.

11.3. Project Titles

If the ARC judges that a project title and description do not adequately reflect the objectives and outcomes sought, the ARC reserves the right to change the project title and description.

11.4. Intellectual property

Applicants must agree to comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available at www.arc.gov.au) and act in accordance with any intellectual property policies of the applicant's institution or organisation.

11.5. Incomplete or misleading information

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

If an application is incomplete, inaccurate or contains misleading information, it may be excluded from any further consideration for funding.

If the ARC believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the ARC will refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Australian Government 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.

Examples of malpractice include, but are not restricted to:

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

11.6. Insurance and liabilities

Organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement. The draft Funding Agreement can be viewed on the ARC website (www.arc.gov.au).

Appendix 1 - Descriptions of National Research Priorities and associated Priority Goals

Research Priority 1: An Environmentally Sustainable Australia

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

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

Australia faces significant environmental challenges:

- Efficient and sustainable water use is a critically important issue for our economic and social development;
- Significant land degradation issues, such as salinity, need to be arrested to underpin our agricultural production systems;
- Climate change can be expected to have complex, long-term consequences for the environment, for our agricultural and marine production systems and for communities; and
- The cleanliness and efficiency of our energy production systems should be enhanced.

There is substantial effort underway to develop more efficient water utilisation practices, to protect our rivers and groundwater resources, and to protect and remediate our fragile soils.

Our agricultural and mining industries are being transformed through the adoption of new technologies, and the development of new types of foods.

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

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

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

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

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

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

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

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

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

Priority Goals

- **Water – a critical resource**
Sustainable ways of improving water productivity, using less water in agriculture and other industries, providing increased protection of rivers and groundwater and the re-use of urban and industrial waste waters.
Australia is one of the driest continents and is dependent upon access to freshwater supplies for economic and social development. It has a complex geological structure, a highly variable climate, unique ecosystems, flora and fauna and a distinctive indigenous and settler history. Enhancing our understanding of the links between these factors and water availability will result in a better understanding of sustainable water management practices.
- **Transforming existing industries**
New technologies for resource-based industries to deliver substantial increases in national wealth while minimising environmental impacts on land and sea.
Resource-based industries underpin much of Australia's prosperity and have the potential to do so in the future. For example, Australia remains highly prospective for minerals discoveries and highly attractive for the development of new era foods from agricultural and marine sources. Our competitive advantage and national well being will depend on research and on the development and adoption of new technologies.
- **Overcoming soil loss, salinity and acidity**
Identifying causes and solutions to land degradation using a multidisciplinary approach to restore land surfaces.
The Australian landscape is fragile: soil salinity, acidity, and nutrient levels pose significant, long term challenges for agriculture and the environment. Research is helping to find solutions to these problems. For example, the National Land and Water Resources Audit shows the extent of salinity, soil erosion and soil acidification in the Australian environment and illustrates Australia's leading edge in national mapping of critical resource data. Further multidisciplinary effort is required to develop sustainable land management practices that are appropriate for Australian conditions and mitigate major land degradation processes and increase biodiversity.

- **Reducing and capturing emissions in transport and energy generation**
Alternative transport technologies and clean combustion and efficient new power generation systems and capture and sequestration of carbon dioxide.
 Australia is well positioned to produce world class solutions to reduce and capture greenhouse gas emissions and the Government is committed to meeting the emissions target set for Australia at Kyoto. We are also well placed to develop alternative energy technologies and ecologically sustainable transport and power generation systems.
- **Sustainable use of Australia's biodiversity**
Managing and protecting Australia's terrestrial and marine biodiversity both for its own value and to develop long term use of ecosystem goods and services ranging from fisheries to ecotourism.
 Australia has a unique and rich flora and fauna. Many of our complex ecosystems – on which our agricultural, fisheries and tourism industries depend - have adapted to events such as drought and fire, and have been shaped by indigenous and settler management practices. There is a need for a more comprehensive understanding of these natural systems and the interplay with human activities, and the effects of management and protection measures.
- **Developing deep earth resources**
Smart high-technology exploration methodologies, including imaging and mapping the deep earth and ocean floors, and novel efficient ways of commodity extraction and processing (examples include minerals, oil and gas) while minimising negative ecological and social impacts.
 Many of Australia's known mineral assets may be nearly exhausted within the next decade. New land-based deposits are believed to be buried deeper in the crust and the deep marine areas surrounding Australia are also largely unexplored. New technologies, such as remote sensing, indicate scientists are on the brink of being able to 'see' inside the earth and identify deeply buried deposits.
- **Responding to climate change and variability**
Increasing our understanding of the impact of climate change and variability at the regional level across Australia, and addressing the consequences of these factors on the environment and on communities.
 Australia already has a highly variable climate, and climate change can be expected to have further significant impacts. It is important to enhance our understanding of the consequences of climate change and variability at the regional level across Australia, and the implications for the environment and for communities. It is also important to explore beneficial adaptation strategies to climate change and variability to ensure ongoing social, economic and environmental well being.

Research Priority 2: Promoting and Maintaining Good Health

Promoting good health and well being for all Australians

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

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

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

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

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

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

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

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

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

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

However, while Australia has an enviable record in health and medical research, the research effort is spread across the many universities, hospitals and health and medical research institutes, resulting in critical mass only in limited areas of research. There is also a need to draw on multidisciplinary approaches that include research contributions from the social sciences and humanities.

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

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

Priority Goals

- **A healthy start to life**
Counteracting the impact of genetic, social and environmental factors which predispose infants and children to ill health and reduce their well being and life potential.
Human health in the developing foetus and in early childhood is critical to the future well being of the adult. Research shows that health and well being in early childhood is predictive of later positive outcomes, and that health in middle and late childhood is also crucial. This goal supports the Government's National Agenda for Early Childhood initiative.
- **Ageing well, ageing productively**
Developing better social, medical and population health strategies to improve the mental and physical capacities of ageing people.
Australia's population is ageing, with a significant projected increase in the number of people aged over 65 and over 85. While Australia is relatively well placed compared with many OECD nations, major shifts in cultural expectations and attitudes about ageing are necessary to respond constructively, at both an individual and population level. A healthy aged population will contribute actively to the life of the nation through participation in the labour market or through voluntary work. This goal supports the Government's National Strategy for an Ageing Australia.
- **Preventive healthcare**
New ethical, evidence-based strategies to promote health and prevent disease through the adoption of healthier lifestyles and diet, and the development of health-promoting products.
Preventive healthcare research will improve the prediction and prevention of disease and injury for all Australians through the adoption of healthier behaviours, lifestyles and environments. Research will generate an improvement in the design, delivery and uptake of programmes such as exercise-based rehabilitation. There are several major disease targets amenable to immediate study, such as cardiovascular health, neurodegenerative diseases, mental ill-health, obesity, diabetes, asthma and chronic inflammatory conditions. Research on prevention will emphasise interdisciplinary approaches, including research on ethics, drawing on contributions from the social sciences and humanities, as well as from the health and medical sciences. It will also focus on developing new health promoting foods and nutraceuticals. This goal supports the Government's Focus on Prevention initiative.
- **Strengthening Australia's social and economic fabric**
Understanding and strengthening key elements of Australia's social and economic fabric to help families and individuals live healthy, productive, and fulfilling lives.

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

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

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

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

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

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

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

But breakthrough science underpins technological advancements in many areas and Australia needs to foster an environment that stimulates creativity and innovation. Applications for frontier technologies are potentially very large. Australia has the capacity to exploit niche markets for new products and services.

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

Smart information use involving improved data management, intelligent transport systems and digital media to develop creative applications for digital technologies provides huge opportunities to improve the performance of key Australian industries. Australia needs to invest in this research area as it is fundamental to our future competitiveness and well being.

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

A better understanding of the conditions that are conducive to innovation will ensure that Australia's investment in research will maximise the benefits for Australia. Enhanced research effort will also be achieved through initiatives that develop a critical mass of researchers in key areas.

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

Priority Goals

- **Breakthrough science**
Better understanding of the fundamental processes that will advance knowledge and facilitate the development of technological innovations.
Breakthrough science underpins technological innovation across a range of industries critical to maintaining Australia's position as a developed country. Some examples include bio-, cultural- and geo-informatics, nano-assembly and quantum computing. Technological advances are often unexpected and a strong foundation in mathematics and the fundamental sciences will provide an environment that fosters creativity and innovation. Early participation in leading edge areas of research will enable Australian researchers to benefit more fully from international developments.
- **Frontier technologies**
Enhanced capacity in frontier technologies to power world-class industries of the future and build on Australia's strengths in research and innovation (examples include nanotechnology, biotechnology, ICT, photonics, genomics/phenomics, and complex systems).
The potential applications of frontier technologies across a range of industries in Australia are vast. Australia has significant capacity to exploit niche markets for new products and services emerging from frontier technologies. Australia has world-class research expertise in many such areas. Some examples include nanotechnology, biotechnology, ICT, photonics, genomics and phenomics. Also important are advanced frameworks such as complex systems in which these technologies are applied. Future directions in this priority area need to target the cutting-edge science critical for each emerging technology.
- **Advanced materials**
Advanced materials for applications in construction, communications, transport, agriculture and medicine (examples include ceramics, organics, biomaterials, smart material and fabrics, composites, polymers and light metals).
The development of advanced materials will underpin growth in many areas of industrial and economic activity in Australia. Australia has substantial infrastructure in this area and an enviable track record as an innovator and developer of advanced materials. The era of advanced materials is just beginning, in spite of the tremendous progress in recent years. Substantial scientific and technological challenges remain ahead, including the development of more sophisticated and specialised materials. Some examples include ceramics, organics, biomaterials, smart materials and fabrics, composites, polymers, and light metals.
- **Smart information use**
Improved data management for existing and new business applications and creative applications for digital technologies (examples include e-finance, interactive systems, multi-platform media, creative industries, digital media creative design, content generation and imaging).
ICT applications are providing huge opportunities to deliver new systems, products, business solutions, and to make more efficient use of infrastructure. Examples include e-finance, multi-media, content generation and imaging.

Improved data management is central to the future competitiveness of key industries such as agriculture, biotechnology, finance, banking, education, transport, government, and health and ‘info-tainment’. The ability of organisations to operate virtually and collaborate across huge distances in Australia and internationally hinges on our capabilities in this area. The media and creative industries are among the fastest growing sectors of the new economy. Research is needed to exploit the huge potential in the digital media industry.

- **Promoting an innovation culture and economy**

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

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

Research Priority 4: Safeguarding Australia

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

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

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

The threats can potentially come from within and outside Australia.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Priority goals

- **Critical infrastructure**
Protecting Australia's critical infrastructure including our financial, energy, communications, and transport systems.
Protecting our critical infrastructure is important to national security and to the social and economic well being of Australia. An important aspect of this priority goal is e-security which is an enabler of e-commerce. Maintaining a critical mass of research in e-security will be essential in providing Australia with the tools to protect our way of life.
- **Understanding our region and the world**
Enhancing Australia's capacity to interpret and engage with its regional and global environment through a greater understanding of languages, societies, politics and cultures.
Social, cultural and religious issues are of growing significance due to the insecurities of globalisation and the increasing role of non-state players in the security environment. Australia's capacity to interpret and engage with its regional and global environment will be substantially improved by enhancing its research base in apposite languages, societies and cultures. An approach that enhances Australia's capacity to interpret itself to the rest of the world is also needed.
- **Protecting Australia from invasive diseases and pests**
Counteract the impact of invasive species through the application of new technologies and by integrating approaches across agencies and jurisdictions.
Australia is free of many of the pests and diseases affecting primary production around the world. This status needs to be protected as the introduction of exotic species has the potential to adversely affect our exports and the environment. Australia already has strong skills and expertise in this area of research and further work will offer immediate benefits to the community. A greater level of coordination of our research effort will mean that Australia can more effectively develop innovative and rapid solutions to serious threats.
- **Protecting Australia from terrorism and crime**
By promoting a healthy and diverse research and development system that anticipates threats and supports core competencies in modern and rapid identification techniques.
Protecting Australia from terrorism is now more important than ever before in light of recent events and our involvement in the 'war on terror'. The new threat requires a more sophisticated response which should harness Australia's research

capabilities, and which will focus on all phases of counter-terrorism; prevention, preparedness, detection, response and recovery. Crime takes a significant toll on Australian society and economy. The June 2000 report from the Prime Minister's Science, Engineering and Innovation Council estimated that crime costs Australia at least \$18 billion per annum. Personal identification, information protection and the integrity of security systems are fundamental towards ensuring the national security of Australia. An effective solution will include building on Australia's existing strengths in rapid detection using new analytical technologies and managing significant data collections.

- **Transformational defence technologies**

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

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

Appendix 2 - Eligible Organisations

A. Higher Education Organisations

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
- RMIT University
- Swinburne University of Technology
- The University of Melbourne
- University of Ballarat
- Victoria University of Technology

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

- Australian Maritime College
- University of Tasmania

Northern Territory

- Charles Darwin University

Batchelor Institute of Indigenous Tertiary Education
Australian Capital Territory
The Australian National University
University of Canberra
Multi-State
Australian Catholic University

B. Other eligible organisations

Museums and herbaria which are Australian publicly funded organisations not directly funded to carry out research, but with research-related purposes and objectives. Australian research organisations that are funded for research from State/Territory or Australian Government sources.

Appendix 3. Notional ARC Federation Fellowship Salaries for Funding Commencing in 2006 (2005 \$)

Salaries are indexed annually.

	Salary	Oncosts	Total
Federation Fellowship (FF)	\$246,290	\$64,035	\$310,325

ARC Fellows Relocation (maximum) Allowances

USA	\$17,000
UK/Europe/Asia (Northern Hemisphere)	\$14,000
Asia (Southern Hemisphere)/NZ	\$11,000
Australia	\$8,000