



# **Federation Fellowships Funding Rules for funding commencing in 2008**

*Australian Research Council Act 2001*

---

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

Dated

2007

Minister for Education, Science and Training

---

# *Table of Contents*

<b>Acronyms</b> .....	<b>4</b>
<b>Key dates</b> .....	<b>5</b>
<b>Contacts</b> .....	<b>5</b>
<b>1 Name of Funding Rules</b> .....	<b>6</b>
<b>2 Commencement</b> .....	<b>6</b>
<b>3 Interpretation</b> .....	<b>6</b>
<b>4 Introduction</b> .....	<b>8</b>
4.1 Overview .....	8
4.2 NCGP objectives.....	8
4.3 <i>Federation Fellowships</i> scheme .....	9
4.4 Fundamental principles and requirements .....	10
<b>5 Changes from last year</b> .....	<b>12</b>
<b>6 Funding</b> .....	<b>13</b>
6.1 Level of funding.....	13
6.2 Period of funding .....	14
6.3 Types of research supported .....	14
6.4 Areas of investigation/work not supported .....	15
6.5 Restrictions on budget items .....	15
6.6 Number of Proposals and funded projects .....	16
<b>7 Organisational types, roles and eligibility</b> .....	<b>16</b>
7.1 Eligible Organisations.....	16
<b>8 Roles and eligibility for Federation Fellows</b> .....	<b>17</b>
8.1 Eligibility criteria for Federation Fellows.....	17
<b>9 Cross-scheme issues</b> .....	<b>19</b>
9.1 Cross-scheme funding.....	19
9.2 Cross-scheme eligibility.....	19
9.3 Researchers from Commonwealth-funded Research Centres.....	19
9.4 Funding of Medical and Dental Research.....	20
<b>10 Application process</b> .....	<b>20</b>
10.1 Eligibility exemption and eligibility ruling process.....	20
10.2 Proposals .....	20
10.3 Certification .....	20
10.4 Submission of Proposals .....	21
<b>11 Selection and approval process</b> .....	<b>23</b>
11.1 Selection criteria .....	23
11.2 Assessment and selection procedure.....	24
11.3 Offer of funding .....	26
<b>12 Appeals process</b> .....	<b>26</b>
<b>13 Administration of funding</b> .....	<b>27</b>
13.1 Funding Agreement .....	27
<b>14 Other matters</b> .....	<b>28</b>
14.1 Applicable law .....	28
14.2 Confidentiality .....	28
14.3 Project description .....	29
14.4 Intellectual property .....	29
14.5 Incomplete or misleading information.....	29
14.6 Insurance and liabilities .....	30

<b>Appendix 1 - National Research Priorities and associated Priority Goals .....</b>	<b>31</b>
<b>Appendix 2 - Eligible Organisations .....</b>	<b>41</b>
<b>Appendix 3 - Notional ARC Federation Fellowship Salaries for Funding Commencing in 2008.....</b>	<b>43</b>
<b>Appendix 4 - Minimum Funding Contribution Requirements for Administering Organisations.....</b>	<b>44</b>

## Acronyms

The following acronyms are used in ARC Funding Rules.

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

## Key dates

**Closing time for submission of Proposals**      **5:00 pm (AEST) Friday 19 October 2007**

**Deadline for letters requesting non-use of an assessor**      **5:00 pm (AEST) Friday 19 October 2007**

## Contacts

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

Enquiries about the ARC *Federation Fellowships* scheme may be addressed as follows:

by mail to:

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

or

by courier to:

*Federation Fellowships*  
Coordinator  
Australian Research  
Council  
1<sup>st</sup> Floor, 8 Brindabella  
Circuit  
CANBERRA AIRPORT  
ACT 2609

Other:

Email: [ncgp@arc.gov.au](mailto:ncgp@arc.gov.au)  
Phone: +61 2 6287 6600  
Fax: +61 2 6287 6638  
Web: <http://www.arc.gov.au>

# 1 Name of Funding Rules

- 1.1.1 These Funding Rules are the *Australian Research Council Federation Fellowships Funding Rules for funding commencing in 2008*.

# 2 Commencement

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

# 3 Interpretation

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

**Adjunct Appointment or equivalent** means that an Eligible Organisation has a formal agreement in writing with a researcher which is publicly acknowledged and which establishes an ongoing association with the Eligible Organisation, of the nature of a conjoint, emeritus or honorary academic, or visiting fellow. It would be expected that the person's association would be listed in an official organisational publication and/or web site.

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

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

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

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

**ARC Centre** means a research centre wholly or partly funded by the ARC and includes *ARC Centres of Excellence*, *ARC Centres* and *ARC Special Research Centres*.

**ARC Fellowship** means a position held by a researcher where the salary is supported 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 ARC Federation Fellowship (FF), Australian Postdoctoral Fellowship (APD), Australian Postdoctoral Fellowship (Industry) (APDI), Australian Postdoctoral Fellowship (CSIRO) (APDC), Australian Research Fellowship (ARF), Queen Elizabeth II Fellowship (QEII), and Australian Professorial Fellowship (APF).

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

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

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

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

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

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

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

**Commonwealth** means the Commonwealth of Australia.

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

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

**Federation Fellow** means a researcher whose salary is supported under the ARC *Federation Fellowships* scheme.

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

**Federation Fellowship candidate** means an individual researcher nominated in a Proposal for a Federation Fellowship.

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

**Funding Rules** means this document.

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

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

**Indigenous Researcher Fellow** means a researcher whose salary is wholly or partly supported under an ARC Indigenous Researcher Fellowship (under the ARC *Discovery Indigenous Researcher Development* scheme).

**Linkage Industry Fellow** means a researcher whose salary is wholly or partly supported under an ARC Linkage Industry Fellowship (under the ARC *Linkage Projects* scheme).

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

**National Research Priority** means a national research priority referred to in Section 4.2 and further detailed in Appendix 1.

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

**Queen Elizabeth II Fellow** means a researcher whose salary is wholly or partly supported under an ARC Queen Elizabeth II Fellowship (under the ARC *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.

**Start-up Project Funding** means project funding the ARC may provide for Federation Fellows, which is in addition to salary and on-costs support.

## **4 Introduction**

### **4.1 Overview**

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

### **4.2 NCGP objectives**

- 4.2.1 The ARC is a Commonwealth Government statutory authority established under the ARC Act. The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer

funding to support research programs, and to provide policy advice related to research.

4.2.2 The ARC has established a range of competitive funding schemes for the support of research and research training under the framework of the NCGP. A list of current NCGP funding schemes is available on the ARC's Web Site.

4.2.3 By the operation of a range of funding schemes under the NCGP, the ARC aims to:

- a. maintain and build on existing research and research training;
- b. build the scale and focus of research and research training;
- c. encourage cross-disciplinary approaches to research and research training;
- d. facilitate collaborative approaches to research and research training; and
- e. support research and research training of national benefit, including in the following National Research 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.

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

### **4.3 *Federation Fellowships* scheme**

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

4.3.2 The objectives of the *Federation Fellowships* scheme are 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.

4.3.3 Open to applications from outstanding researchers of international renown, the *Federation Fellowships* scheme particularly encourages Proposals involving Australian and non-Australian researchers currently working overseas by providing eligible Federation Fellows with Start-up Project Funding in addition to salary and salary-related (on-cost) support.

- 4.3.4 Up to 25 Federation Fellowships may be awarded for funding commencing in 2008.
- 4.3.5 Preference will be given to early- to mid-career researchers who will play a leadership role in building Australia's internationally competitive research capacity.

## **4.4 Fundamental principles and requirements**

### **4.4.1 Ethics and research practices**

- 4.4.1.1 The National Health and Medical Research Council (NHMRC) website, <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 should conform to the principles outlined in the following and their successor documents:
  - a. the Joint NHMRC/AVCC *Statement and Guidelines on Research Practice* (1997);
  - b. as applicable, the NHMRC/ARC/AVCC *National Statement on Ethical Conduct in Human Research* (2007); and
  - c. as applicable, the NHMRC's other codes on animal research.

### **4.4.2 Non-duplication**

- 4.4.2.1 The ARC will not provide financial assistance to meet the costs of a project to the extent that those costs have been, or are likely to be, met by Commonwealth funding obtained from another source (including other ARC funding). The ARC reserves the right to determine if a Proposal includes such costs and to deem a notional amount for such costs.
- 4.4.2.2 Where a significant portion of the costs for a proposed project has been, or is likely to be, funded by the Commonwealth from other sources (including other ARC sources), the ARC may decide to recommend that the Proposal not be funded at all. In other cases, the ARC may decide to recommend a reduced amount of funding for the proposed project.

### **4.4.3 Conflict of interest**

- 4.4.3.1 All parties involved in or associated with Proposals and ARC-funded research projects are required to disclose to the ARC, and the other parties involved in the Proposal, affiliations with or financial involvement in any organisation which has, or is likely to have, a direct interest in the subject matter or outputs of the project. Such parties are required to disclose to the ARC at the time of the submission of a Proposal, and in reporting on ARC-funded research projects, any conflict of interest which has the potential to influence, or appear to influence, their research and activities, publications and media reports, or requests for funding related to the Proposal/project. All parties involved in a Proposal are required to disclose to the other parties involved in the Proposal any such conflict of interest – they must advise the other parties as soon as possible if such a conflict of interest arises during the course of an ARC-funded project.

- 4.4.3.2 If, in the opinion of the ARC, any party involved in or associated with a Proposal has failed to disclose any such conflict of interest, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that party.
- 4.4.3.3 If a conflict of interest exists or arises, the Administering Organisation must have established processes in place for managing the conflict of interest for the duration of the project. Such processes must comply with the Joint NHMRC/AVCC *Statement and Guidelines on Research Practice* (1997) and any relevant successor document. In the event of any inconsistency between the original and any successor document, the latter document is to apply.

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

- 4.4.4.1 The Funding Agreement requires that any ARC contribution to research and other activities funded by the ARC be appropriately acknowledged. When, at any time during or after completion of a project, the researcher or any other party publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the research project, the Administering Organisation must ensure (wherever possible) that the ARC's contribution and support of the project is acknowledged in a prominent place and in an appropriate form. This acknowledgement should include the mention of the ARC as a funding body. Similar efforts should be made to acknowledge ARC support when participating in television and radio programs, when interviewed by the print media and when otherwise speaking publicly about the project.
- 4.4.4.2 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC's Web Site.

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

- 4.4.5.1 The 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.
- 4.4.5.2 The ARC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research. Such considerations include the status and reputation of a journal or publisher, the peer review process of evaluating their research outputs, access by other stakeholders to their work, the likely impact of their work on users of research and the further dissemination and production of knowledge. Taking heed of these considerations, the ARC wants to ensure the widest possible dissemination of the research supported under its funding, in the most effective manner and at the earliest opportunity.
- 4.4.5.3 The ARC therefore encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository wherever such a repository is available to the researcher(s). If a researcher is not intending to deposit the data from a project in a repository within a six-month period, he/she should include the reasons in the project's Final Report. Any research outputs that have been or will be deposited in appropriate repositories should be identified in the Final Report.

## 5 Changes from last year

- 5.1.1 A number of clarifications and revisions have been made in these Funding Rules for funding commencing in 2008 (the 2008 *Federation Fellowships* Funding Rules). Significant changes from the 2007 *Federation Fellowships* Funding Rules include:
- a. The Interpretation Section contains a definition of Medical and Dental Research. This replaces the use of the term “clinical medical and dental research and training” used in previous funding rules.
  - b. Subsection 4.4.3 stipulates the right of the ARC to not recommend Proposals for approval if, in the opinion of the ARC, any party involved in or associated with the Proposal has failed to disclose a conflict of interest.
  - c. A new section has been added which deals with the dissemination of research outputs (subsection 4.4.5).
  - d. The amount of Start-up Project Funding that the ARC may provide to eligible Federation Fellows has been increased to \$500,000 (subsection 6.1.3).
  - e. Clarification has been provided about the agreements, signatures and certifications Administering Organisations must obtain and be able to provide to the ARC (Section 10.3).
  - f. Provision has been made for the ARC, in deciding whether or not to recommend a late Proposal for approval, to take into account whether the documents were despatched by the Administering Organisation sufficiently in advance of the closing time to enable the documents to have been delivered to the ARC by the closing time in the normal course of events (providing the Administering Organisation is able to provide such evidence to the satisfaction of the ARC) (subsection 10.4.5.3).
  - g. The selection criteria and descriptors have been modified and the weighting of the revised criteria has been specified. The former criterion “National Benefit” is now covered under the “Project/Program of research activity” criterion and the overall weighting of the latter criterion has been increased. The descriptors relating to outstanding leadership ability have also been strengthened (Section 11.1).
  - h. If a candidate already holds a Federation Fellowship at the time he/she is nominated for a subsequent Federation Fellowship, the candidate and the relevant Administering Organisation must have agreed, prior to the submission of the Proposal, to relinquish any salary-related funding (including on-costs) associated with the existing Federation Fellowship which is payable by the ARC or unexpended, as at 1 January 2009 (subsection 8.1.10).
  - i. Provision has been made for a Federation Fellowship candidate who had commenced a Federation Fellowship which was terminated early for reasons other than to take up a subsequent Federation Fellowship to be eligible to be nominated for a subsequent Federation Fellowship if he or she has obtained the prior written approval of the ARC. The Funding Rules specify that in deciding whether to give such approval the ARC will take into account whether, in the opinion of the ARC, exceptional circumstances applied to the termination (subsection 8.1.11).
  - j. The ARC will provide funding for 100 per cent salary plus on-costs for the first and second Federation Fellowships held by a person. However, if desired, a 50

per cent salary plus pro rata on-costs funding option is available for the second Federation Fellowship. In the latter case the ARC will provide salary support of 50 per cent of the notional Federation Fellowship salary plus pro rata on-costs – this funding must at least be matched by the Fellow’s Administering Organisation and the Proposal must detail how the Fellow’s research will be supported (subsection 8.1.14).

- k. There is now a requirement for Administering Organisations who wish to provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal to submit this request on the ARC’s “Request not to Assess” form (subsection 11.2.3.3).
- l. In order to more fully explain the situation, provision is explicitly made for the Minister to vary a funding approval if the desirable period of funding for the project is not consistent with the period in the funding approval as previously approved or as otherwise varied (subsection 13.1.5.3).
- m. The provision for the ARC to not recommend Proposals if there has been incomplete, unsatisfactory, inaccurate or misleading material provided in relation to the reporting of progress of a funded project has been broadened to encompass situations where such deficiencies occur in the provision of advice to the ARC in relation to the project in general (i.e. not just in the reporting of progress) (subsections 14.5.3 and 11.2.2.2.f).

5.1.2 The list of changes above is not comprehensive. Applicants and other parties involved in Proposals should read and understand the entire Funding Rules and draft 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 level of salary and salary-related (on-cost) funding which will be provided by the ARC for a Federation Fellow is \$A256,052 per annum (2007 dollars) plus 28 per cent on-costs. These salaries are substantially higher than those payable under other Fellowship schemes in the ARC’s National Competitive Grants Program.
- 6.1.3 In addition to salary and salary-related (on-cost) support, the ARC may provide Federation Fellows with Start-up Project Funding of up to \$500,000, providing the request is well justified and the Federation Fellowship candidate at the closing time for submission of Proposals:
  - a. was not involved as a Chief Investigator in an ARC *Discovery Projects* project or *Linkage Projects* project; and
  - b. was not eligible to be a Chief Investigator in:
    - i. the ARC *Discovery Projects* funding round for funding commencing in 2008; or
    - ii. the ARC *Linkage Projects* funding rounds for funding commencing in 2008.

- 6.1.4 Proposals requesting Start-up Project Funding must describe and justify the need for, and the amount of, funding being sought from the ARC. This support, if approved, is to assist researchers who may not otherwise have been able to work on their proposed projects as expeditiously as those researchers with ongoing access to significant resources at their proposed Host Organisation. If approved, Start-up Project Funding will be paid during the first two years of the Fellowship.
- 6.1.5 The Administering Organisation must provide a high level of financial support (cash and in-kind) for the research project which is to be undertaken by the Federation Fellow. These contributions must meet the “minimum funding contribution requirements” specified in Appendix 4. Administering Organisations may, however, provide financial support in excess of the minimum funding contribution requirements specified in Appendix 4.
- 6.1.6 A Proposal must, therefore, demonstrate the Administering Organisation’s commitment to the Federation Fellowship candidate by providing a detailed outline of the Administering Organisation’s contributions towards the research costs of the Federation Fellowship candidate.
- 6.1.7 If the ARC considers that a Proposal does not meet the minimum funding contribution requirements for the Administering Organisation, the Proposal will not be recommended or approved for funding.
- 6.1.8 The ARC reserves the right to recommend a level of Start-up Project Funding for a project at a level which may differ from that requested in the Proposal.

## **6.2 Period of funding**

- 6.2.1 Financial assistance may be payable under these Funding Rules for *Federation Fellowships* projects in respect of the financial year 2008-09 and any subsequent years to which the ARC Act applies. Funding for approved projects will commence with effect 1 July 2008, unless other arrangements are approved by the ARC.
- 6.2.2 Fellowships are funded for five years, subject to sufficient funding being available for the *Federation Fellowships* scheme, the provisions of the ARC Act and continued satisfactory progress of the Federation Fellowship project.
- 6.2.3 The ARC reserves the right to recommend Start-up Project Funding 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, the *Federation Fellowships* scheme supports excellent research by world-class researchers, 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.

## **6.4 Areas of investigation/work not supported**

6.4.1 The *Federation Fellowships* scheme does not support the following work:

- a. Medical and Dental Research;
- b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, film, broadcasts, designs, and literary works. These areas are generally covered by other Commonwealth funding agencies, such as 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 this is an integral part of a project, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute; and
- f. development of research aids and tools (including computer programs), unless they form an integral part of the Proposal, in which case the Proposal must include a statement indicating the research objectives to which these activities would contribute.

6.4.2 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.

## **6.5 Restrictions on budget items**

6.5.1 The *Federation Fellowships* scheme supports only costs which directly support a research project. The ARC may in its absolute discretion determine whether any project costs meet this requirement.

6.5.2 The *Federation Fellowships* scheme has restrictions on the following budget items:

- a. **Capital works and general infrastructure**  
Capital works and general infrastructure costs are not funded in whole or in part under *Federation Fellowships*.
- b. **Special Studies Programs**  
Funds are not provided for travel or related expenses for researchers when on a Special Studies Program.
- c. **International students' fees, Higher Education Contribution Scheme (HECS) liability and Higher Education Loan Programme (HELP) liabilities.**  
Funds are not provided to pay the fees of international students or HECS or HELP liabilities for students.

**d. Computer facilities for molecular analysis**

Applicants for projects involving molecular biology should be aware that a number of organisations provide access to a range of databases and a large suite of analysis programs. As a result, Proposals seeking funding for computer facilities to undertake molecular analysis must justify such needs very thoroughly and to the satisfaction of the ARC.

**e. Basic facilities**

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

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

**f. Publication costs**

Publication costs, including printing and page costs, will not be funded under *Federation Fellowships*.

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

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

## **6.6 Number of Proposals and funded projects**

6.6.1 Federation Fellowship candidates may not be nominated for a Federation Fellowship on more than one *Federation Fellowships* Proposal in this funding round. Submitting Proposals that exceed this limit may result in all Proposals involving the Federation Fellowship candidate not being recommended or approved for funding.

6.6.2 The funding rules for other ARC funding schemes may specify limits on the number of Proposals or projects Federation Fellows may hold under those schemes.

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

### **7.1 Eligible Organisations**

7.1.1 A Proposal may be submitted only by an Eligible Organisation. Appendix 2 specifies Eligible Organisations for the *Federation Fellowships* scheme.

7.1.2 The Administering Organisation must provide a high level of financial support (cash and in-kind). These contributions must meet the “minimum funding contribution requirements” specified in Appendix 4.

- 7.1.3 Proposals must demonstrate the Administering Organisation's commitment to the Federation Fellow by providing a detailed submission for their contributions towards the research costs of the Federation Fellow.

## **8 Roles and eligibility for Federation Fellows**

### **8.1 Eligibility criteria for Federation Fellows**

- 8.1.1 A Proposal must nominate one researcher for a Federation Fellowship (the Federation Fellowship candidate). A Federation Fellow must satisfy the eligibility criteria for that role as specified in Section 8 of these Funding Rules.
- 8.1.2 A researcher nominated in a Proposal as Federation Fellow must take significant intellectual responsibility for the proposed project, its conception, and any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.
- 8.1.3 If the ARC considers that a Federation Fellowship candidate nominated in a Proposal does not meet the eligibility criteria in this Section, the Proposal will not be recommended or approved for funding.
- 8.1.4 Federation Fellowship candidates must be distinguished researchers who are at the forefront of international research. They must have leadership skills and experience in building research capacity, and should propose ground-breaking research programs likely to deliver significant economic, environmental, social or cultural benefits to Australia.
- 8.1.5 Proposals may be submitted for Federation Fellowship candidates who are qualified researchers currently working in Australia or overseas. Proposals are particularly encouraged from researchers currently working overseas.
- 8.1.6 At the time of the submission of a Proposal all obligations regarding previously funded projects involving the Federation Fellowship candidate on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory progress and final reports.
- 8.1.7 Federation Fellows must reside predominantly in Australia for the full duration of the Federation Fellowship. If a Federation Fellowship candidate does not have permanent resident status he/she must obtain temporary resident status from the Department of Immigration and Citizenship before the Federation Fellowship commences.
- 8.1.8 Federation Fellows are expected to pursue research that is at the international leading edge in their field. To facilitate this aim, Federation Fellows may, with the approval of the ARC, undertake research overseas for periods of up to 2 years in total, providing that the Administering Organisation clearly demonstrates this is in the best interests of the research and its outcomes, and of national benefit to Australia.

- 8.1.9 A researcher may be nominated for a Federation Fellowship regardless of whether he/she holds any continuing or non-continuing appointments at the time the Proposal is submitted. Other than with the written approval of the ARC, if the Proposal is approved the Federation Fellowship candidate is expected to relinquish any existing appointments before the Fellowship may commence.
- 8.1.10 Subject to subsection 8.1.11, if a Federation Fellowship candidate has previously been awarded one or more ARC Federation Fellowships, the person must have completed all previous ARC Federation Fellowships or be in the fourth or fifth year of an existing ARC Federation Fellowship. If there is any salary-related Federation Fellowship funding (including on-costs) in respect of the candidate which is:
- a. payable by the ARC on or after 1 January 2009; or
  - b. unexpended by the relevant Administering Organisation as at 1 January 2009;
- the candidate and the relevant Administering Organisation must have agreed, prior to the submission of the Proposal, that such salary-related funding (including on-costs) associated with the existing Federation Fellowship will be relinquished if the Proposal is successful.
- 8.1.11 The ARC considers Federation Fellowships to be prestigious awards requiring a very high level of commitment by the recipients of the award. Other than with the written approval of the ARC prior to the submission of the Proposal, a Federation Fellowship candidate who had commenced a Federation Fellowship which was terminated early for reasons other than to take up a subsequent Federation Fellowship may not be nominated for a subsequent Federation Fellowship. In determining whether to grant such approval the ARC will take into account whether, in the opinion of the ARC, the termination was due to exceptional circumstances.
- 8.1.12 If a Federation Fellowship candidate holds or has applied for any other ARC Fellowships, or any fellowships from other funding bodies, the candidate must have agreed, if the Proposal is successful, to relinquish those other Fellowships.
- 8.1.13 Federation Fellowships are awarded on a full-time basis only. Federation Fellows are expected to work full-time on research and research capacity-building activities. Research capacity-building activities could include research leadership in teams and centres (ARC Centres or other research-related centres) and supervision of postgraduate students, but do not include a major role in administration. While a Federation 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.
- 8.1.14 The salary support options for Federation Fellowships are:
- a. **100 per cent salary plus on-costs.** This option is available for the first and second Federation Fellowship awarded to a person; or
  - b. **50 per cent salary plus pro rata on-costs.** This option is available for the second Federation Fellowship awarded to a person. 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 Federation Fellowship salary plus pro rata on-costs. This must at least be matched by the Fellow's Administering Organisation and the Proposal must detail how the Fellow's research will be supported. Fellows being funded on the 50 per cent salary support option must still work on their research on a full-time basis.

## **9 Cross-scheme issues**

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

- 9.1.1 The ARC will not duplicate financial assistance for research already funded by the Commonwealth or which is likely to be funded from other Commonwealth funding sources (including under other ARC funding schemes). The ARC reserves the right to determine if a Proposal duplicates or is likely to duplicate research being funded by another Commonwealth source. In such circumstances the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 9.1.2 Subject to subsections 4.4.2, 8.1.9 - 8.1.13 and 9.1.1 and Section 9.2, research funding received or sought elsewhere for the project or the Federation Fellowship candidate (outside the *Federation Fellowships* scheme) does not affect the eligibility of a Proposal within the *Federation Fellowships* scheme.

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

- 9.2.1 If a funding request for any proposed research project, salary or equipment has been or is being submitted to another ARC scheme or to any other Commonwealth funding body, each Proposal must be cross-referenced and summary details of all other funding requests must be included in the Proposal. Proposals must indicate the level of funding obtained, or being sought, from all other Commonwealth funding sources and must list all existing research funding from all Commonwealth sources. If these processes are not observed or the ARC determines that incomplete, unsatisfactory, inaccurate or misleading details were included in the Proposal, the ARC may in its absolute discretion decide to not recommend the *Federation Fellowships* Proposal for approval.
- 9.2.2 If the Federation Fellowship candidate is concurrently the subject of multiple ARC Fellowship requests, whether these are in one or more ARC schemes or involve different Administering Organisations, the Proposals must be cross-referenced. If more than one of these Fellowship requests is approved for funding, only one Fellowship can be accepted.
- 9.2.3 The ARC may liaise with other funding agencies to discuss any overlap between proposed or existing research projects in order to avoid duplication of funding. The ARC may for this purpose disclose to that agency any information in a Proposal.

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

- 9.3.1 Directors of ARC Centres may be nominated for a Federation Fellowship. A Federation Fellow may serve as a Centre Director or Research Director, provided that the ARC is satisfied that he/she will work full-time on research and research capacity-building activities and that the Fellow's administrative duties in the Centre will not consume a substantial amount of her/his time.

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

- 9.4.1 Pursuant to subsection 6.4.1 and 6.4.2, the ARC does not fund Medical and Dental Research under *Federation Fellowships*. The ARC reserves the right to determine conclusively whether the proposed research falls within the area of Medical and Dental Research.
- 9.4.2 If the Administering Organisation submits, or is intending to submit, applications to the ARC and the NHMRC for similar research it must cross-reference the Proposals and must declare the dual submission on the ARC application form.

## **10 Application process**

### **10.1 Eligibility exemption and eligibility ruling process**

- 10.1.1 Formal eligibility exemption and eligibility ruling processes do not apply to Proposals for Federation Fellowships.

### **10.2 Proposals**

- 10.2.1 A Proposal should be submitted as a mature research plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC or its College of Experts.
- 10.2.2 All details in the Proposal must be current at the time of submission.
- 10.2.3 In submitting a Proposal, the Administering Organisation and the Federation Fellowship candidate are consenting to the Proposal's being assessed under the ARC's peer assessment procedures and agree to the release of the Proposal to third parties for assessment purposes.

### **10.3 Certification**

- 10.3.1 The Administering Organisation must obtain the agreement in writing of all parties necessary to allow the proposed project to proceed. These agreements must be attested to by hand-written signatures and certifications from all relevant persons and organisations involved in the Proposal. These agreements, certifications and signatures are to be retained by the Administering Organisation which must provide them if requested by the ARC. A form is available for this purpose on the ARC's Web Site. If the Administering Organisation fails to provide this material upon request, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 10.3.2 A Proposal must be submitted through the appropriate Research Office. If a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification, the Proposal will not be recommended or approved for funding.

## **10.4 Submission of Proposals**

10.4.1 Proposals under *Federation Fellowships* consist of two parts:

- a. An on-line form which must be completed and submitted in the ARC's on-line grants application management system accessible via the ARC's Web Site; and
- b. Additional text which must be submitted as part of the paper version of the Proposal:
  - i. if applicable, "Statement of special expertise and skills by non-citizens of Australia";
  - ii. if applicable, justification of Start-up Project Funding;
  - iii. descriptions of research record;
  - iv. reports on specific ARC-funded projects;
  - v. project description; and
  - vi. Administering Organisation letter of support.
- c. In addition to the additional text outlined above, Administering Organisations may submit a maximum of two referee reports for a Federation Fellowship candidate from self-nominated referees as part of the paper version of the Proposal. The *Federation Fellowships Instructions to Applicants for Funding commencing in 2008* provide guidance on the submission of referee reports.

### **10.4.2 Format**

10.4.2.1 All documents must be written in English and must comply strictly with the format and submission requirements. If a Proposal fails to meet any format and content requirements, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

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

10.4.2.3 The pages of the Proposal should be numbered consecutively starting from page one.

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

10.4.3.1 Administering Organisations must use the Proposal form within the ARC's on-line grants application management system accessible via the ARC's Web Site.

10.4.3.2 A separate document *Federation Fellowships Instructions to Applicants for Funding Commencing in 2008* will be available from the ARC's Web Site to assist in preparing Proposals.

- 10.4.3.3 Administering Organisations may have internal closing dates for Proposal preparation which precede ARC closing times.
- 10.4.3.4 Research Offices have access to the ARC on-line grants application management system and will allocate UserIDs and passwords to enable researchers at their organisations to access the system and prepare Proposals. If a researcher has previously been allocated access, her/his UserID and password should still be current.
- 10.4.3.5 If researchers do not have a Research Office or equivalent unit, they should email [gamsids@arc.gov.au](mailto:gamsids@arc.gov.au) at the ARC for assistance.
- 10.4.3.6 Research Offices should submit forms in the ARC's on-line grants application management system and forward the signed paper part and a copy which must, as far as possible, identically match the contents of the submitted on-line application form. Proposals should be sent:

by mail to:

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

or by courier to:

*Federation Fellowships* Coordinator  
 Australian Research Council  
 1<sup>st</sup> Floor, 8 Brindabella Circuit  
 CANBERRA AIRPORT ACT 2609

#### **10.4.4 Number of copies**

- 10.4.4.1 In addition to the on-line form, the paper part of a Proposal must be submitted along with an identical paper copy. The paper parts must be clipped, not stapled. The paper parts of the Proposal must be submitted with the additional text, including supporting documentation, interleaved appropriately (see *Federation Fellowships Instructions to Applicants for Funding Commencing in 2008*).

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

- 10.4.5.1 Subject to subsection 10.4.5.3, the paper parts of the Proposal must be received by the ARC, and the on-line form completed using the ARC's on-line grants application management system must be submitted, by **5:00 pm (AEST) Friday 19 October 2007**.
- 10.4.5.2 Proposals may be withdrawn but additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- 10.4.5.3 If the paper part of the Proposal, or its copy, is received by the ARC after 5:00 pm (AEST) Friday 19 October 2007 the ARC may in its absolute discretion decide to not recommend the Proposal for approval. In deciding whether to recommend or not recommend such a Proposal the ARC may take into account whether:
- a. in the opinion of the ARC, exceptional circumstances apply; and
  - b. the Administering Organisation is able to provide evidence to the satisfaction of the ARC that all the documents were despatched by the Administering Organisation sufficiently in advance of the closing time for the documents to have been delivered by the closing time in the normal course of events.

# 11 Selection and approval process

## 11.1 Selection criteria

11.1.1 All *Federation Fellowships* Proposals which meet the eligibility criteria will be assessed using the following criteria:

**a. Investigator (50%)**

- consideration should be given to stage of career and opportunities the candidate has had to attain the level of achievement
  - outstanding research track record
  - potential to undertake groundbreaking research
  - outstanding leadership ability
    - potential to build world-class research groups/teams and/or Centres over the term of the proposed project
    - potential to leave an enduring legacy

**b. Project/Program of research activity (50%)**

- innovation
  - are the project aims and concepts original and innovative?
  - will new methods, technologies or theories/ideas be developed?
  - how does the research program enhance innovation in Australia?
- approach
  - are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the project?
- significance and national benefit
  - does the research address an important problem?
  - how will the anticipated outcomes advance the knowledge base?
  - what is the potential of the research project to result in economic, environmental, social and/or cultural benefits for Australia?
  - what is the potential for the research to contribute to the National Research Priorities?
- nature and level of organisational support
  - the level of institutional or organisational commitment
  - is the package of administrative support and facilities appropriate and adequate to support the research plan?
  - does the package include funding for postgraduate students and post-doctoral researchers to work with the Federation Fellow?

11.1.2 There is a limited number of Federation Fellowships available for funding. The recommending of Federation Fellowships is at the ARC's discretion, having regard to the criteria in subsection 11.1.1 and the matters at subsections 4.3.4, 4.3.5 and 11.1.3.

11.1.3 Subject to the ARC receiving an adequate number of requests of the requisite type and of sufficient quality, the ARC will award up to five Federation Fellowships to support researchers who are not Australian citizens or permanent residents, but who can demonstrate that the Federation Fellowship would be of national benefit to

Australia. Proposals for these Federation Fellowship candidates 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.

## **11.2 Assessment and selection procedure**

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

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

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

11.2.1.2 The ARC College of Experts assists with the assessment of Proposals. The ARC has procedures for managing organisational and personal conflicts of interest experienced by members of the College of Experts, members of other ARC committees, ARC staff, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.

### **11.2.2 Exclusion of Proposals**

11.2.2.1 The ARC will not recommend for approval, and the Minister will not approve for funding, any Proposal that fails to satisfy the "eligibility criteria" set out in these Funding Rules, including:

- a. if the Proposal is not for a program of research, or a program that supports the conduct of a program of research;
- b. if the Proposal seeks funding for projects of the type referred to in subsection 6.4.1, or for any of the items listed in subsection 6.4.2, and the ARC considers no other part of the proposed project worthy of support;
- c. if the ARC determines that the proposed project falls within the area of Medical and Dental Research (subsection 6.4.2.a and Section 9.4);
- d. if the Proposal was not submitted by an Eligible Organisation (Section 7.1);
- e. If the Proposal does not nominate one researcher for a Federation Fellowship (subsection 8.1.1);
- f. if the ARC considers that a Federation Fellowship candidate nominated in the Proposal does not meet the eligibility criteria for a Federation Fellow as specified in Section 8;

- g. if the Proposal does not meet the requirement for contributions from the Administering Organisation (Sections 6.1 and 7.1 and Appendix 4); and
- h. if a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification (Section 10.3).

11.2.2.2 The ARC may in its absolute discretion decide not to recommend for approval a Proposal if:

- a. in the opinion of the ARC, the Federation Fellowship candidate nominated in the Proposal 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 (subsections 4.1.5 and 8.1.6);
- b. in the opinion of the ARC, any party involved in or associated with the Proposal has failed to disclose any conflict of interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Proposal (subsection 4.4.3.2);
- c. the limits on the number of Proposals and projects permissible are exceeded (subsection 6.6.1);
- d. in the opinion of the ARC, a Proposal duplicates or is likely to duplicate research already being funded by the Commonwealth (subsections 4.4.2 and 9.1.1);
- e. where required the Proposal does not include details of other funding or funding requests (subsection 9.2.1);
- f. the ARC considers that incomplete, unsatisfactory, inaccurate or misleading material has been provided in relation to the Proposal or if the Administering Organisation and/or Federation Fellowship candidate nominated in the Proposal have provided the ARC with incomplete, unsatisfactory, inaccurate or misleading information in relation to the provision of advice relating to, or in the reporting of progress of, a funded project (subsections 9.2.1, 14.5.2 and 14.5.3);
- g. when requested, the Administering Organisation fails to provide the signed certifications and agreements of all parties necessary to allow the proposed project to proceed (subsection 10.3);
- h. the Proposal is submitted after the closing time (subsection 10.4.5); or
- i. the Proposal fails to meet any format and other submission requirements (Section 10.4).

### **11.2.3 Assessment**

11.2.3.1 In addition to assessment by the ARC, a Proposal may at the ARC's absolute discretion be assessed by external assessors. Assessors may be drawn from a range of organisations to reduce the potential for conflicts of interest. Proposals will be assessed against the criteria set out in these Funding Rules and the reports by the assessors may include written comments.

11.2.3.2 The ARC reserves the right to make recommendations for funding to the Minister based on any number of assessments or solely on the assessment of the ARC.

11.2.3.3 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal. A “Request not to Assess” form is available from the ARC’s Web Site for this purpose. Such notifications must contain detailed justification and be submitted using the “Request not to Assess” form through the Administering Organisation’s Research Office. This notification must not accompany the Proposal. The notification must be received by the ARC by the closing time for Proposals, **5:00 pm (AEST) Friday 19 October 2007**, and be sent:

by mail to:

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

or by courier to:

*Federation Fellowships* Coordinator  
Australian Research Council  
1<sup>st</sup> Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT 2609

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

#### **11.2.4 Recommendations**

11.2.4.1 The ARC’s recommendations will be submitted in accordance with the ARC Act to the Minister for Education, Science and Training (the Minister) for consideration. The Minister determines which Proposals will be approved and the amount and timing of financial assistance to be paid to Administering Organisations for approved Proposals.

11.2.4.2 Under the ARC Act, the Minister may not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.

### **11.3 Offer of funding**

11.3.1 Administering Organisations whose Proposals are approved will be:

- a. notified in a letter of offer that will indicate the financial assistance to be offered; and
- b. provided with a copy of a Funding Agreement for signing.

## **12 Appeals process**

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

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

12.1.3 Appeals must be addressed and sent:

by mail to:

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

or

by courier to:

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

## **13 Administration of funding**

### **13.1 Funding Agreement**

13.1.1 All parties involved in a Proposal should familiarise themselves with the 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.

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

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

#### **13.1.4 Varying the Funding Agreement**

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

#### **13.1.5 Varying the funding approval**

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

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

13.1.5.3 The Minister may vary the funding approval if:

- a. any of the organisations involved in the project end, or substantially change, their involvement with the project;
- b. the research project changes so that it is no longer consistent with the description in the funding approval as previously approved or as otherwise varied;
- c. the desirable period of funding for a project is not consistent with the period in the funding approval as previously approved or as otherwise varied;
- d. the 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 *Federation Fellowships* scheme objectives.

### **13.1.6 Reports**

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

## **14 Other matters**

### **14.1 Applicable law**

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

### **14.2 Confidentiality**

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

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

14.2.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.

14.2.3 Notwithstanding the above, and in addition to the exemptions listed at subsection 14.2.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of the Federation Fellows and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its intended outcomes (including the national/community benefits that are expected to arise from the research); and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the project title and summaries would not, if released, compromise their

own requirements for confidentiality (such as future protection of intellectual property).

### **14.3 Project description**

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

### **14.4 Intellectual property**

- 14.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a project funded under *Federation Fellowships*.
- 14.4.2 However, all Proposals become the property of the ARC on submission. Administering Organisations submit their Proposals on the basis that the ARC may copy, modify and otherwise deal with information contained in a Proposal (and allow any external assessor or other third party to do the same) for any purpose related to:
- a. the evaluation and assessment of Proposals;
  - b. verifying the accuracy, consistency and adequacy of information contained in a Proposal, or otherwise provided to the ARC;
  - c. the preparation and management of any Funding Agreement; or
  - d. the administration or management of the NCGP.
- 14.4.3 If a Proposal contains information belonging to a third party, the Administering Organisation must ensure, prior to the Administering Organisation's submitting its Proposal, that it has in place all necessary consents to allow the ARC to deal with that information in accordance with these Funding Rules.
- 14.4.4 Except with written approval from the ARC, all Proposals and ARC-funded research projects must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC's Web Site) and accord with any intellectual property policies of the researchers' organisations.

### **14.5 Incomplete or misleading information**

- 14.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 14.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 14.5.3 If an Administering Organisation and/or the researcher nominated in a Proposal as a Federation Fellowship candidate has provided the ARC with incomplete, unsatisfactory, inaccurate or misleading information in relation to any Proposal for, or in the provision of advice relating to, or reporting of progress of, a project funded by the Commonwealth, the ARC may in its absolute discretion decide to not recommend the Proposal for approval and/or terminate projects involving that

organisation/person if funded and require the Administering Organisation to repay some or all of the funding.

- 14.5.4 If the ARC considers that omissions, or inclusion of misleading information, are intentional, or if there is evidence of misconduct, the ARC may refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.
- 14.5.5 Examples of misleading information and misconduct are, but are not restricted to:
- a. providing fictitious track records; or
  - b. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted); or
  - c. failing to disclose to the ARC the existence, and nature, of actual or potential conflicts of interest of any of the parties involved in the Proposal/project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the project).

## **14.6 Insurance and liabilities**

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

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

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

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

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

Australia faces significant environmental challenges:

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

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

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

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

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

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

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

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

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

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

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

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

### **Priority Goals**

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

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

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

*Promoting good health and well-being for all Australians.*

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

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

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

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

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

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

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

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

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

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

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

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

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

## Priority Goals

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **Priority Goals**

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

ceramics, organics, biomaterials, smart materials and fabrics, composites, polymers, and light metals.

- **Smart information use**

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

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

- **Promoting an innovation culture and economy**

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

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

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

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

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

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

The threats can potentially come from within and outside Australia.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **Priority goals**

- **Critical infrastructure**

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

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

- **Understanding our region and the world**  
*Enhancing Australia's capacity to interpret and engage with its regional and global environment through a greater understanding of languages, societies, politics and cultures.*  
 Social, cultural and religious issues are of growing significance due to the insecurities of globalisation and the increasing role of non-state players in the security environment. Australia's capacity to interpret and engage with its regional and global environment will be substantially improved by enhancing its research base in apposite languages, societies and cultures. An approach that enhances Australia's capacity to interpret itself to the rest of the world is also needed.
- **Protecting Australia from invasive diseases and pests**  
*Counteract the impact of invasive species through the application of new technologies and by integrating approaches across agencies and jurisdictions.*  
 Australia is free of many of the pests and diseases affecting primary production around the world. This status needs to be protected as the introduction of exotic species has the potential to adversely affect our exports and the environment. Australia already has strong skills and expertise in this area of research and further work will offer immediate benefits to the community. A greater level of coordination of our research effort will mean that Australia can more effectively develop innovative and rapid solutions to serious threats.
- **Protecting Australia from terrorism and crime**  
*By promoting a healthy and diverse research and development system that anticipates threats and supports core competencies in modern and rapid identification techniques.*  
 Protecting Australia from terrorism is now more important than ever before in light of recent events and our involvement in the 'war on terror'. The new threat requires a more sophisticated response which should harness Australia's research capabilities, and which will focus on all phases of counter-terrorism; prevention, preparedness, detection, response and recovery. Crime takes a significant toll on Australian society and economy. The June 2000 report from the Prime Minister's Science, Engineering and Innovation Council estimated that crime costs Australia at least \$18 billion per annum. Personal identification, information protection and the integrity of security systems are fundamental towards ensuring the national security of Australia. An effective solution will include building on Australia's existing strengths in rapid detection using new analytical technologies and managing significant data collections.
- **Transformational defence technologies**  
*Transform military operations for the defence of Australia by providing superior technologies, better information and improved ways of operation.*  
 Australia has a small defence force to protect a large continent and a substantial maritime region of responsibility. Its operational advantage has been maintained through a superior capability which is dependent on leveraging innovative technologies. Although some benefits can be gained from overseas research, Australia has to conduct its own research to address uniquely Australian demands. A systems approach which harnesses the research capabilities of all stakeholders is essential to the successful development and introduction of innovative technologies.

## **Appendix 2 - Eligible Organisations**

### **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  
Royal Melbourne Institute of Technology (RMIT University)  
Swinburne University of Technology  
The University of Melbourne  
University of Ballarat  
Victoria University

#### Queensland

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

#### Western Australia

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

#### South Australia

Flinders University  
The University of Adelaide  
University of South Australia

#### Tasmania

Australian Maritime College  
University of Tasmania

Northern Territory  
Charles Darwin University  
Batchelor Institute of Indigenous Tertiary Education

Australian Capital Territory  
The Australian National University  
University of Canberra

Multi-State  
Australian Catholic University

## **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 2008**

Salaries are indexed annually.

	<b>Salary (\$ 2007)</b>	<b>Oncosts 28%</b>	<b>Total (\$ 2007)</b>
Federation Fellowship	\$256,052	\$71,694	\$327,746

### **ARC Fellows Relocation (maximum) Allowances**

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

## **Appendix 4 - Minimum Funding Contribution Requirements for Administering Organisations**

1. Administering Organisations must provide a high level of financial support (cash and in-kind) for Federation Fellows.
2. These contributions must at a minimum meet the following requirements:
  - a. the total support provided by the Administering Organisation, including both cash and in-kind contributions, must at least match the total level of funding provided by the Commonwealth for the Federation Fellowship less the value of any Start-up Project Funding;
  - b. the level of cash contribution must at least match the total level of salary funding provided by the Commonwealth (excluding on-costs);
  - c. the Administering Organisation must provide suitable facilities and access to support requirements for the Federation Fellow(s) such as qualified technicians, all library services and any equipment necessary for the conduct of the research;
  - d. the support and facilities must be adequate and appropriate to support the research plan put forward in the Proposal;
  - e. a commitment of funds for postgraduate students and postdoctoral researchers to work with the Federation Fellowship holder should form a significant part of the package of matching support; and
  - f. the contributions must not be sourced from Commonwealth competitive research funding.
3. Only contributions directly relevant to the Proposal are taken into account as eligible “minimum funding contributions” from Administering Organisations. The ARC reserves the right to determine if a Proposal includes contributions which are not directly relevant to the Proposal and to deem a notional amount for such costs.
4. If the Proposal is seeking the 50 per cent salary support option for a Federation Fellow the Proposal must detail how the Fellow’s research will be supported.