



**Australian Government**

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**Australian Research Council**

***Australian Laureate Fellowships Funding***  
**Rules for funding commencing in 2012**

*Australian Research Council Act 2001*

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I, KIM CARR, Minister for Innovation, Industry, Science and Research, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Funding Rules under section 60 of that Act.

Dated: 19 October 2011

Minister for Innovation, Industry, Science and Research

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## Key Dates

|   |  |
|---|--|
| <b>Closing time for submission of Proposals</b> | <b>5.00 pm (AEDT)<br/>Wednesday 14 December 2011</b> |
| <b>Deadline for Request not to Assess Form</b>  | <b>5.00 pm (AEDT)<br/>Wednesday 14 December 2011</b> |

## Contacts

Researchers should direct requests for information to the Research Office within their organisation.

ARC Contacts:

by mail to:

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

by courier to:

*Australian Laureate Fellowships*  
Coordinator  
Australian Research Council  
Level 2, 11 Lancaster Place, Majura Park  
CANBERRA ACT 2609

Email:

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

Phone: +61 2 6287 6600

Fax: +61 2 6287 6638

Web: [www.arc.gov.au](http://www.arc.gov.au)

Appeals must be addressed and sent:

by mail to:

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

or by courier to:

The Appeals Officer  
Australian Research Council  
Level 2, 11 Lancaster Place,  
Majura Park  
CANBERRA ACT 2609

RMS Helpdesk:

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

Phone: 02 6287 6789

## 1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Australian Laureate Fellowships* Funding Rules for funding commencing in 2012.

## 2. Commencement

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

## 3. Definitions

In these Funding Rules, unless the contrary intention appears:

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

**Administering Organisation** means an Eligible Organisation which submits a Proposal for funding under *Australian Laureate Fellowships* scheme and which will be responsible for the administration of the funding if the Project is approved for funding.

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

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

**ARC Fellowship** means a named Fellowship position within any ARC scheme where the salary is funded wholly or partly by the ARC.

**ARC Research Centres Program** encompasses any research centre wholly or partly funded by the ARC and includes Centres of Excellence, Special Research Centres, Co-funded Centres and Special Research Initiatives.

**Australian Laureate Fellow** means a researcher who has been awarded an Australian Laureate Fellowship.

**Australian Laureate Fellowship** means an ARC Fellowship awarded under the *Australian Laureate Fellowships* scheme.

**Australian Laureate Fellowship Candidate** means a researcher nominated in a Proposal for an Australian Laureate Fellowship.

**Award of PhD Date** means the date of conferral of a PhD, not the date of submission of the thesis, nor the date the thesis was accepted by the examination board.

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

**Commonwealth** means the Commonwealth of Australia.

**Commonwealth-funded Research Centre** means a research centre established under a competitive Commonwealth scheme and includes Cooperative Research Centres and National Health and Medical Research Council (NHMRC) Centres of Clinical Research Excellence.

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

**Eligible Organisation** means an organisation listed in Appendix A.

**Funding Agreement** means the agreement entered into between the ARC and an Administering Organisation that sets out the terms and conditions for the administration of Commonwealth funding and the conduct of the Project.

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

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

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

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

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

**NCGP** means the *National Competitive Grants Program*.

**Postdoctoral Research Associate (PDRA)** means a postdoctoral research associate funded by the Commonwealth through the Administering Organisation, who will be employed on the Project.

**Postgraduate Researcher (PGR)** means a postgraduate research student funded by the Commonwealth through the Administering Organisation, who will undertake a postgraduate research degree through the Project.

**Project** means a Proposal approved by the Minister to receive funding from the ARC.

**Proposal** means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.

**Research Office** means a business unit within an Eligible Organisation that is responsible for administrative contact with the ARC regarding Proposals and Projects.

**RMS** means the ARC's online Research Management System.

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

## **4. Introduction**

### **4.1 Overview**

4.1.1 These Funding Rules are current as at October 2011 and have been prepared in accordance with the requirements of the Act in force then.

4.1.2 The *Australian Laureate Fellowships* scheme reflects the Commonwealth's commitment to support excellence in research by attracting world-class researchers and research leaders to key positions in Australia.

4.1.3 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise [innovative] applications<sup>1</sup>.

### **4.2 Australian Laureate Fellowships**

4.2.1 The objectives of the *Australian Laureate Fellowships* scheme are to:

- a. attract and retain outstanding researchers and research leaders of international repute;
- b. build and strengthen world-class research capability in Australia;
- c. provide an excellent research training environment and exemplary mentorship to nurture early-career researchers;
- d. expand Australia's knowledge base by supporting ground-breaking, internationally competitive research;
- e. forge strong links among researchers, the international research community and/or industry;
- f. support research that will result in economic, environmental, social and cultural benefits for Australia.

4.2.2 Open to applications from outstanding researchers of international repute, the *Australian Laureate Fellowships* scheme encourages Proposals involving Australian or international researchers.

4.2.3 Preference will be given to researchers who will play a significant, sustained leadership and mentoring role in building Australia's internationally competitive research capacity.

4.2.4 Up to 17 Australian Laureate Fellowships may be awarded for funding commencing in 2012, including two additional fellowships as outlined in subsection 4.2.5.

<sup>1</sup> OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, Paris.

- 4.2.5 Up to two additional Australian Laureate Fellowships may be awarded to successful female Australian Laureate Fellows for funding commencing in 2012. A *Kathleen Fitzpatrick Australian Laureate Fellowship* will be available to a highly ranked female candidate from the humanities, arts and social science disciplines, and a *Georgina Sweet Australian Laureate Fellowship* will be available to a highly ranked female candidate from the science and technology disciplines. Recipients will be provided with additional funding to undertake an ambassadorial role to promote women in research. Recipients will be subject to the same conditions and obligations that apply to Australian Laureate Fellowships as outlined in these Funding Rules, as well as meeting the additional requirements outlined in Section 8 of these Funding Rules.

### 4.3 Selection Criteria

- 4.3.1 Proposals will be assessed and ranked using the following selection criteria:

**a. Investigator (40%)**

Consideration will be given to the Australian Laureate Fellowship Candidate's research opportunities and performance evidence (ROPE) relative to their level of achievement including:

- research output and achievement
- potential to undertake ground-breaking research
- outstanding leadership ability
- potential to leave an enduring legacy
- contribution to national and international public policy debates and initiatives.

**b. Project/Program of Research Activity (30%)**

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?
- Is there a contribution to public policy formulation and debate?
- 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?

- Will this research sustain and/or enhance international research collaboration?

**c. Mentoring/Capacity Building (30%)**

- potential to build world-class research groups/teams and/or Centres over the term of the proposed project
- exceptional ability to supervise postdoctoral researchers and other early-mid career researchers
- record of successful postgraduate supervision, where applicable
- exceptional leadership and organisational ability to ensure the development of scale and focus in research
- ability to attract financial resources to enhance research capacity.

## **5. Funding**

### **5.1 Level and Period of Funding**

- 5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- 5.1.2 The Administering Organisation must provide a salary of a Level E professorial appointment (or equivalent) for the Australian Laureate Fellow, with the ARC providing the salary supplement.
- 5.1.3 The level of salary supplement that will be provided by the ARC for an Australian Laureate Fellow is A\$105,782 per annum plus 28 per cent on-costs. In addition to the salary supplement and salary-related (on-cost) support, the ARC may provide:
- additional funding for up to two PDRAs (for 5 years each);
  - up to two PGRs (for 4 years each); and
  - project funding of up to A\$300,000 per annum (for up to 5 years).
- 5.1.4 An Australian Laureate Fellow may only receive funding concurrently for a maximum of two Discovery Projects or one Discovery Project where the Australian Laureate Fellow is CI on an ARC Centre. If two Projects are funded concurrently under the *Discovery Projects* scheme only one can be as sole CI.
- 5.1.5 Requests for project funding may include additional PDRAs and PGRs.
- 5.1.6 The ARC reserves the right to recommend a level of project funding for a Project at a level that may differ from that requested in the Proposal.
- 5.1.7 Funding may be payable under these Funding Rules for *Australian Laureate Fellowships* in respect of the financial year 2012-13 and any subsequent years to which the Act applies. Funding for approved projects will commence with effect 1 July 2012, unless other arrangements are approved by the ARC.
- 5.1.8 Australian Laureate Fellowships are funded for five years on a full-time basis, subject to sufficient funding being available for *Australian Laureate Fellowships*, the provisions of the Act, and continued satisfactory progress of the Project.

- 5.1.9 PDRAs are funded for five years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the PDRA as determined by the ARC.
- 5.1.10 PGRs are funded for four years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the PGR as determined by the ARC.
- 5.1.11 The ARC may recommend Project funding for a duration different from that requested in the Proposal.

## **5.2 Budget Items Supported**

- 5.2.1 The following project costs may be supported under the *Australian Laureate Fellowships* scheme:
  - a. personnel (salaries and on-costs), including;
    - i. Australian Laureate Fellow, PDRAs, and PGRs as outlined in Section 9;
    - ii. Technicians, laboratory attendants and research assistants; but excluding those items not permitted pursuant to subsection 5.3.1.
  - b. equipment (specific to disciplines);
  - c. maintenance;
  - d. access to services linked to and justified explicitly against the project (e.g. machine tools and qualified technicians available to each member of staff, according to need, for research);
  - e. domestic and international travel costs, subject to the policies of the Administering Organisation, for the Australian Laureate Fellow, PDRAs, PGRs and research support personnel only. Funding is permitted for domestic and international travel associated with the project, including to foster and strengthen collaborations between researchers in Australia and overseas; and
  - f. publication and dissemination of Project outputs and outreach activity costs of up to two (2) per cent of the total non-salary funding requested for the Project. The ARC strongly encourages publication in publicly accessible outlets and the depositing of data and any publications arising from a Project in an appropriate subject and/or institutional repository.

## **5.3 Budget Items Not Supported**

- 5.3.1 Budget items which will not be supported by ARC funding include:
  - a. capital works and general infrastructure costs;
  - b. teaching and/or teaching relief;
  - c. travel or related expenses for researchers when on a Special Studies Program;
  - d. fees of international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students;

- e. relocation costs;
- f. costs not directly related to research or the proposed Project. Examples include but are not limited to: costs of a personal nature (visas, insurance, mobile phones (purchase or call charges)), costs of dependants, entertainment costs, hospitality costs, and other indirect costs; and
- g. web hosting and web development.

5.3.2 The following basic facilities must be provided and funded by the Administering Organisation and be accessible to the Australian Laureate Fellow where relevant:

- a. accommodation (e.g. laboratory and office, suitably equipped and furnished);
- b. access to film or music editing facilities;
- c. access to a basic library collection;
- d. web hosting and web development;
- e. standard reference materials;
- f. provision of office computers and basic computing facilities such as printers, word processing and other standard software;
- g. use of photocopiers, telephones, mail, fax, email and internet services;
- h. advertising and appointment costs will not be funded under *Australian Laureate Fellowships*; and
- i. relocation costs.

5.3.3 Administering Organisations may not apply “bench fees” or similar fixed charges to ARC funded Projects for the provision of basic facilities as outlined in subsection 5.3.2.

#### **5.4 Research / Activities Not Supported**

5.4.1 Except where such activities meet the definition of research at 4.1.3 the *Australian Laureate Fellowships* scheme does not support production of:

- a. descriptive data compilations, catalogues or bibliographies;
- b. teaching materials; or
- c. compilation of data, computer programs, research aids and tools.

5.4.2 The *Australian Laureate Fellowships* scheme does not support Medical and Dental Research, as detailed on the ARC website.

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

### **6.1 Eligible Organisations**

6.1.1 A Proposal may only be submitted by an Eligible Organisation listed at Appendix A.

6.1.2 The Eligible Organisation which submits the Proposal will be the Administering Organisation.

- 6.1.3 The Administering Organisation must provide Australian Laureate Fellows with a Level E professorial appointment (or equivalent) and salary for the duration of the Australian Laureate Fellowship.

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

### **7.1 Eligibility Criteria for Australian Laureate Fellows**

- 7.1.1 A Proposal must nominate one Australian Laureate Fellowship Candidate.
- 7.1.2 A Proposal may be submitted for an Australian Laureate Fellowship by an Australian or international researcher. An Australian Laureate Fellowship Candidate may hold a continuing or non-continuing appointment in Australia or overseas at the time the Proposal is submitted.
- 7.1.3 At the closing time of submission of Proposals all obligations regarding previously funded ARC projects involving the Australian Laureate Fellowship Candidate must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.
- 7.1.4 Australian Laureate Fellows must legally reside predominantly in Australia for the duration of the Australian Laureate Fellowship, except where ARC approval has been granted.
- 7.1.5 Prior to the commencement of an Australian Laureate Fellowship, any existing responsibilities must be relinquished, except the Australian Laureate Fellowship Level E salaried position, unless otherwise approved by the ARC. ARC approval must also be obtained for any post-award responsibilities.
- 7.1.6 At the closing time of submission of Proposals, an Australian Laureate Fellowship Candidate who holds an ARC or NHMRC Fellowship may apply for an Australian Laureate Fellowship only in the final year of her/his Fellowship. A Fellowship is considered to be funded for the years set out in the Funding Agreement.
- 7.1.7 If an Australian Laureate 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, prior to the commencement of the Australian Laureate Fellowship.
- 7.1.8 *Australian Laureate Fellowships* are awarded on a full-time basis only. Australian Laureate 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 an Australian Laureate Fellow's principal duty is to undertake research, it is also important to specify in the Proposal the role he/she would be expected to play within the Administering Organisation, and if applicable, the ARC Centre.
- 7.1.9 Australian Laureate Fellows are expected to pursue research that is at the international leading edge in their field. To facilitate this aim, Australian Laureate Fellows may, with the approval of the Minister, undertake research

overseas for periods of up to two 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.

## **7.2 Eligibility Criteria for Postdoctoral Research Associates**

7.2.1 A PDRA must have been awarded a PhD or obtain approval from the ARC as having a research degree or experience equivalent to the award of a PhD.

7.2.2 Funding for a PDRA is provided on the basis that the researcher works full-time on the proposed project. Approval may be sought from the ARC for a PDRA to undertake overseas research for up to two years, provided that it is in the best interests of the research and its outcomes, and of national benefit to Australia.

## **7.3 Eligibility Criteria for Postgraduate Researchers**

- 7.3.1 To be eligible to receive postgraduate research funding, a student must:
- a. be enrolled in a full-time postgraduate research degree at an Eligible Organisation;
  - b. have an appropriate Honours 1 or 2A (or equivalent) undergraduate degree (this may be relaxed where a candidate has developed considerable research expertise in industry);
  - c. not be receiving similar funding or stipend from another Commonwealth program;
  - d. not have completed a degree at the same level or at a higher level in the same field of endeavour; and
  - e. not previously have held an Australian Postgraduate Award (APA) or Australian Postgraduate Award Industry (APAI) unless it was terminated within the first six months of the earlier award.

## **8. Kathleen Fitzpatrick Australian Laureate Fellowship and Georgina Sweet Australian Laureate Fellowship**

8.1.1 The *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship* aim to encourage applications from female researchers, and are intended to attract a larger number of applications from women who are researchers and research leaders of international repute. These two fellowships involve the provision of additional funding for the recipients to undertake an ambassadorial role. This role involves the promotion of women in research in Australia, and the mentoring of early career researchers, particularly women, to enter and establish careers in the humanities, arts and social sciences, and also in science and technology.

8.1.2 A *Kathleen Fitzpatrick Australian Laureate Fellowship* will be available to a highly ranked female candidate from the humanities, arts and social science disciplines, and a *Georgina Sweet Australian Laureate Fellowship* will be available to a highly ranked female candidate from the science and technology disciplines.

- 8.1.3 Recipients of a *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship* will be subject to the same conditions and obligations that apply to Australian Laureate Fellowships as outlined in these Funding Rules.
- 8.1.4 In addition to the level of funding outlined in Section 9.1, the ARC will provide funding of up to \$20,000 per annum (for 5 years) to each of the successful recipients of a *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship*. This additional funding must be used by successful recipients to undertake an ambassadorial role to promote women in research.
- 8.1.5 Candidates who apply for a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will be required to indicate their willingness to take on the ambassadorial role within their Proposal, including providing a brief outline of their proposed activities.
- 8.1.6 To be eligible to apply for a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship*, the candidate must be female. This is in addition to the eligibility criteria for Australian Laureate Fellows outlined in Section 7 of these Funding Rules.
- 8.1.7 Candidates who apply for a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will be assessed against the same selection criteria as all Australian Laureate Fellowship Candidates (see Section 4.3 of these Funding Rules). For the additional fellowships, preference will be given to candidates who are able to demonstrate outstanding mentoring and capacity building qualities.
- 8.1.8 Candidates who are unsuccessful in obtaining a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will still be considered for an Australian Laureate Fellowship.
- 8.1.9 The ARC may in its absolute discretion decide not to award one or both of these additional fellowships.

## 9. Salary Support

### 9.1 Australian Laureate Fellowship Salary Support

The ARC will provide a salary supplement to a Professorial Level E (or equivalent).

The figures in the tables below are based on the 2011 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC website at [www.arc.gov.au/applicants/salaries.htm](http://www.arc.gov.au/applicants/salaries.htm).

|                             | ARC Salary Supplement | On-costs<br>28% | Total<br>(2011\$) |
|-----------------------------|-----------------------|-----------------|-------------------|
| Australian Laureate Fellows | \$105,782             | \$29,620        | \$135,402         |

The ARC may provide the following amounts for up to two PDRAs and up to two PGRs.

|      | ARC Salary | On-costs<br>28% | Total<br>(2011\$) |
|------|------------|-----------------|-------------------|
| PDRA | \$64,949   | \$18,187        | \$83,136          |
| PGR  | \$27,652   | N/A             | \$27,652          |

## **10. Number of Proposals, Funded Projects and Cross-scheme Eligibility**

### **10.1 Number of Proposals and Funded Projects**

- 10.1.1 Australian Laureate Fellowship Candidates may be nominated on no more than one Proposal in this funding round, evaluated as at the closing time of submission of Proposals, regardless of any subsequent change in, or withdrawal of Proposals. Submitting Proposals that exceed this limit will result in all Proposals involving the relevant researcher not being recommended for funding.
- 10.1.2 The Funding Rules for other ARC funding schemes may specify limits on the number of Proposals or Projects Australian Laureate Fellows may hold under those schemes.
- 10.1.3 Australian Laureate Fellows cannot apply for a subsequent Australian Laureate Fellowship.

### **10.2 Proposal Eligibility**

- 10.2.1 The ARC will not duplicate financial assistance for research, including infrastructure funded as at 1 July 2012 by the Commonwealth.
- 10.2.2 The Proposal must list all current funding and requested funding for the Australian Laureate Fellowship Candidate under any ARC scheme or any other Commonwealth funding scheme.
- 10.2.3 The ARC will assess whether a Proposal meets the eligibility requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.

### **10.3 Cross-Scheme Eligibility**

- 10.3.1 Researchers cannot submit an *Australian Laureate Fellowships* Proposal for funding commencing in 2012 and:
- a. a *Future Fellowships* Proposal for funding commencing in 2012;
  - b. a *Discovery Projects* Proposal where they are seeking a Discovery Outstanding Researchers Award for funding commencing in 2013; or
  - c. a Fellowship or other career award on a NHMRC Proposal for funding commencing in 2012 or 2013.

## **11. Submission of Proposals**

### **11.1 Proposals**

- 11.1.1 The Proposal must contain all the information necessary for assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.
- 11.1.2 All details in the Proposal must be current at the time of submission.

### **11.2 Submission of Proposals**

- 11.2.1 Administering Organisations must submit Proposals through the RMS unless otherwise advised by the ARC.
- 11.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS form and the *Instructions to Applicants*.

### **11.3 Closing Time for Proposals**

- 11.3.1 The online form completed within the RMS, must be submitted by **5.00pm (AEDT) Wednesday 14 December 2011**.
- 11.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- 11.3.3 Proposals may be withdrawn up until **5.00pm (AEDT) Monday 27 February 2012** by the Administering Organisation by notice in writing to the ARC.

### **11.4 Certification in the RMS**

- 11.4.1 The Administering Organisation must certify Proposals online in RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals.
- 11.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

### **11.5 Conflict of Interest**

- 11.5.1 Each party involved in a Proposal must declare at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.
- 11.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the *NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007)* and any relevant successor document.

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

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

- 12.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.
- 12.1.2 All Proposals may be:
- a. considered against eligibility criteria and compliance with the Funding Rules;
  - b. assigned to independent assessors, from a range of organisations, who will assess and prepare a report, which may include written comments, on the Proposal against the selection criteria; and
  - c. ranked and allocated a budget, relative to other Proposals, by the Selection Advisory Committee, on the basis of the Proposal, any assessors' reports and any rejoinder.
- 12.1.3 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the College of Experts, Selection Advisory Committees, members of other ARC Committees and ARC staff.

### **12.2 Rejoinder**

The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation.

### **12.3 Request Not to Assess**

Administering Organisations may name any person or persons whom they do not wish to assess a Proposal on a 'Request not to Assess' form. The notification must be sent to the email address advised under Contacts at the beginning of these Funding Rules and received by the ARC by the closing time for Proposals, **5:00 pm (AEDT) Wednesday 14 December 2011**. The ARC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

### **12.4 Recommendations and Offer of Funding**

- 12.4.1 In accordance with the Act the CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.
- 12.4.2 Under the Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.
- 12.4.3 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.

- 12.4.4 The Minister may vary the funding approval if the ARC recommends that the particular circumstances of the Project warrant variation. Any variation or change will accord with the *Australian Laureate Fellowships* Funding Rules and Funding Agreement.

### **13. Appeals Process**

- 13.1.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the applicant has been treated fairly and consistently in the context of the selection procedures.
- 13.1.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome.
- 13.1.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form, authorised by a Deputy Vice-Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received within 28 days of the date of the notification to the Administering Organisation of the outcome of Proposals.
- 13.1.4 Appeals must be addressed and sent to the address advised under Contacts at the beginning of these Funding Rules.
- 13.1.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options.

### **14. Reporting Requirements**

#### **14.1 Progress Reports**

- 14.1.1 Year 1: Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues. Years 2, 3 and 4: A Progress Report must be submitted with the instructions to be provided by the ARC each year.
- 14.1.2 If the ARC is not satisfied with the progress of any Project, further payment of funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the funding may be terminated and all outstanding monies will be recovered by the ARC.
- 14.1.3 When required, Progress Reports must be submitted by 31 January in the year following each full calendar year for which the funding was awarded as directed by the ARC.

#### **14.2 End of Year Reports**

The Administering Organisation must submit an End of Year Report by 31 March in the year following each full calendar year for which the funding was awarded in accordance with the instructions to be provided by the ARC each year.

### **14.3 Final Report**

- 14.3.1 A Final Report must be submitted for the Project within 12 months of the final payment or within 12 months of the final approved carryover of funds as directed by the ARC.
- 14.3.2 The Final Report must justify why any publications from the Project have not been deposited in appropriate repositories within 12 months of publication. The Final Report must outline how data arising from the Project have been made publicly accessible where appropriate.
- 14.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by the Australian Laureate Fellow.
- 14.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

### **14.4 Audited Financial Statement**

- 14.4.1 In accordance with section 58 of the Act, the Administering Organisation must submit an Audited Financial Statement by 30 June for each year following each calendar year for which the funding was awarded.
- 14.4.2 In completing the Audited Financial Statement, the Administering Organisation must ensure that the amount shown in that statement as 'approved carry forward funds' is the same as the amount (if any) for which approval was given by the ARC to carry over in the End of Year Report.

## **15. Fundamental Principles of Conducting Research**

### **15.1 Ethics and Research Practices**

- 15.1.1 All Proposals and ARC-funded research Projects must conform to the principles outlined in the following and their successor documents:
  - a. NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research (2007)*;
  - b. as applicable, the NHMRC/ARC/AVCC *National Statement on Ethical Conduct in Human Research (2007)*; and
  - c. as applicable, codes on animal research promulgated by the NHMRC.
- 15.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

### **15.2 Applicable Law**

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

### **15.3 Confidentiality**

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

- a. disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
  - b. disclosed to ARC personnel to enable effective management or auditing of the *Australian Laureate Fellowships* scheme or any Funding Agreement;
  - c. disclosed by the ARC to the Minister;
  - d. 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. authorised or required by law to be disclosed;
  - f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
  - g. in the public domain.
- 15.3.2 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.
- 15.3.3 Notwithstanding the above, and in addition to the exemptions listed at 15.3.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of the Fellows and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its intended outcomes; 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).
- 15.3.4 In making public information about a Proposal that 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.

## **15.4 Intellectual Property**

- 15.4.1 The ARC does not claim ownership of any intellectual property in a Proposal.
- 15.4.2 The Administering Organisation must adhere to an Intellectual Property policy, approved by the Administering Organisation's governing body, which has as one of its aims the maximisation of benefits arising from research. Unless otherwise approved by the Commonwealth, the Administering Organisation's Intellectual Property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* as amended from time to time.

## **15.5 Incomplete or Misleading Information**

- 15.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 15.5.2 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 recommend that the Proposal not be approved for funding.
- 15.5.3 A decision under subsection 15.5.2 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal to the next level of assessment.
- 15.5.4 Examples of misleading information and misconduct include:
  - a. providing fictitious research opportunity and performance evidence;
  - b. plagiarism;
  - c. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
  - d. making false claims in relation to qualifications and/or appointments;
  - e. making false certifications in the RMS certification; or
  - f. 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).

### Eligible Organisations

#### A1.1 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**

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

**Tasmania**

University of Tasmania

**Northern Territory**

Batchelor Institute of Indigenous Tertiary Education  
Charles Darwin University

**Australian Capital Territory**

The Australian National University  
University of Canberra

**Multi-State**

Australian Catholic University

**A1.2 Other Eligible Organisations**

Australian Antarctic Division (AAD)  
Australian Astronomical Observatory (AAO)  
Australian Institute of Aboriginal and Torres Strait Islander Studies  
(AIATSIS)  
Australian Institute of Marine Science (AIMS)  
Australian Nuclear Science and Technology Organisation (ANSTO)  
Commonwealth Scientific and Industrial Research Organisation (CSIRO)  
Defence Science and Technology Organisation (DSTO)  
Geoscience Australia (GA)