



Australian Government

Australian Research Council

***Future Fellowships Funding Rules
for funding commencing in 2010***

Australian Research Council Act 2001

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

21 December 2009

Minister for Innovation, Industry, Science and Research

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Acronyms

The following acronyms are used in ARC Funding Rules*

AEST	Australian Eastern Standard Time
AEDT	Australian Eastern Daylight Saving (Summer) Time
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
APA	Australian Postgraduate Award
ARC	Australian Research Council
AVCC	Australian Vice-Chancellors' Committee
CE	<i>ARC Centres of Excellence and 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>
FL	<i>ARC Australian Laureate Fellowships</i>
FT	<i>ARC Future Fellowships</i>
FTE	Full-time equivalent
GA	Geoscience Australia
GST	Goods and Services Tax
LASP	<i>ARC Linkage Learned Academies Special Projects</i>
LIEF	<i>ARC Linkage Infrastructure, Equipment and Facilities</i>
LP	<i>ARC Linkage Projects</i>
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
RMS	Research Management System
SAC	Selection Advisory Committee
SSF	<i>ARC Super Science Fellowships</i>
UA	Universities Australia

*Italics signify ARC Grants Schemes

Key dates

Closing time for Eligibility Exemption Requests	5.00 pm (AEDT) Friday 19 February 2010
Closing time for submission of Proposals	5.00 pm (AEST) Wednesday 21 April 2010
Deadline for Request not to Assess Form	5.00 pm (AEST) Wednesday 21 April 2010

Dates for the award of a PhD (or having achieved equivalent status) to be eligible for a Future Fellowship:

Future Fellowship	On or between 21 April 1995 and 21 April 2005
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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 regarding the *Future Fellowships* scheme and Requests not to Assess must be addressed and sent:

by mail to:

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

or by courier to:

Future Fellowships Coordinator
Australian Research Council
1st Floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

Email:

ARC-FutureFellowships@arc.gov.au

Phone: +61 2 6287 6600

Fax: +61 2 6287 6638

Web: 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
1st Floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

Other:

User IDs for the ARC online application system (RMS):

Email: rms@arc.gov.au

RMS Helpdesk: +61 2 6287 6789

1. Name of Funding Rules

These Funding Rules are the *Future Fellowships* Funding Rules for funding commencing in 2010.

2. Commencement

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

3. Definitions

In these Funding Rules, unless the contrary intention appears:

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

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

Applicant means the Administering Organisation. Funding under *Future 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* and co-funded Centres of Excellence such as the Australian Centre for Plant Functional Genomics (ACPFPG), the Australian Stem Cell Centre (ASCC), National ICT Australia (NICTA), and the National Centre for Groundwater Research and Training.

ARC Fellowship means a position held by a researcher where the salary is funded wholly or partly by the ARC and where the researcher has been nominated in a Proposal to hold a Fellowship. An ARC Fellowship may be awarded at a number of levels and in various ARC schemes. ARC Fellowship includes Australian Postdoctoral Fellowship (APD), Australian Research Fellowship (ARF), Australian Research Fellowship – Indigenous (ARF-I), Queen Elizabeth II Fellowship (QEII), Australian Professorial Fellowship (APF), Australian Postdoctoral Fellowship (Industry) (APDI), Linkage Industry Fellowship (LIF), ARC Centre Fellowship, ARC Federation Fellowship, Future Fellowship, Australian Laureate Fellowship, ARC Indigenous Researcher Fellowship (IRF) and Super Science Fellowship.

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

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

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, Cooperative Research Centres and National Health and Medical Research Council (NHMRC) Program Grants and Centres of Clinical Research Excellence. It does not include Research Networks funded by the ARC.

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

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

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

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.

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

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

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

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, other than the Administering Organisation, at which a Future Fellow undertakes her/his research while holding a Future Fellowship.

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

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

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

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

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

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

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

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

4. Introduction

4.1 Overview and NCGP objectives

- 4.1.1 This document sets out the Funding Rules for the *Future Fellowships* scheme funded under the ARC National Competitive Grants Program (NCGP), which comply with the requirements of the ARC Act.
- 4.1.2 All parties involved in Proposals should read and understand the Funding Rules and the ARC's draft Funding Agreement (which will be available on the ARC website) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.
- 4.1.3 Funding under the *Future 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.
- 4.1.4 These Funding Rules are current as at December 2010 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.
- 4.1.5 The ARC is an Australian Government statutory authority established under the ARC Act. The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer funding to support research programs, and to provide policy advice related to research.
- 4.1.6 The ARC has established a range of competitive funding schemes for the support of research and research training under the framework of the NCGP. A list of current NCGP funding schemes is available on the ARC website.

- 4.1.7 By the operation of a range of funding schemes under the NCGP, the ARC aims to:
- a. maintain and build on existing research and research training;
 - b. build the scale and focus of research and research training;
 - c. encourage cross-disciplinary approaches to research and research training;
 - d. facilitate collaborative approaches to research and research training;
 - e. support research and research training of national benefit, including in the following National Research Priorities:
 - i. An Environmentally Sustainable Australia;
 - ii. Promoting and Maintaining Good Health;
 - iii. Frontier Technologies for Building and Transforming Australian Industries; and
 - iv. Safeguarding Australia.
 - f. support the development of the National Innovation System by promoting the National Innovation Priorities relevant for NCGP. Descriptions of the National Innovation Priorities can be found on the ARC website.
- 4.1.8 Descriptions of the National Research Priorities and their associated Priority Goals can be found on the ARC website.

4.2 Future Fellowships scheme

- 4.2.1 The *Future Fellowships* scheme reflects the Commonwealth's commitment to support excellence in research by providing incentives for Australian and international mid-career researchers to conduct their research in Australia.
- 4.2.2 The objectives of the *Future Fellowships* scheme are to:
- a. attract and retain outstanding mid-career researchers;
 - b. build collaboration across industry and/or research institutions and/or disciplines;
 - c. support research in national priorities across all disciplines that will result in economic, environmental, social, health or cultural benefits for Australia; and
 - d. strengthen Australia's research capacity by supporting innovative, internationally competitive research.
- 4.2.3 The *Future Fellowships* scheme provides opportunities for outstanding mid-career researchers from a variety of disciplines to conduct high quality, innovative research in Australia.
- 4.2.4 Up to 200 Future Fellowships may be awarded for funding commencing in 2010.

4.3 Selection criteria and targeted priority areas

4.3.1 All *Future Fellowships* Proposals which meet the eligibility criteria will be assessed using the following criteria:

a. Investigator (40%)

(Consideration will be given to the opportunities the candidate has had to attain the level of achievement relative to the nominated salary level)

- research opportunity and performance evidence
- evidence of sustained capacity to conduct high quality and innovative research
- record of high quality research outputs appropriate to the discipline/s
- evidence of national and international research standing

b. Project quality (25%)

- are the aims, theories, concepts and methods of the Proposal innovative?
- how will the anticipated outcomes advance the knowledge base of the project's discipline/s?
- does the research address an important intellectual and/or social problem?

c. Strategic alignment / collaboration / National Research Priority(35%)

- how well does the proposed research project and the proposed Future Fellowship candidate align with and/or complement the research strengths or developing research strengths of the Administering Organisation?
- will the proposed research project contribute significantly to building and sustaining existing or emerging research strengths of the Administering Organisation?
- how will the Future Fellowship candidate build collaboration across industry and/or research institutions and/or with other disciplines?
- will the proposed project contribute significantly to the advancement of knowledge in one or more areas of national research priority and/or one or more of the targeted priority areas in subsection 4.3.3?

4.3.2 There are a limited number of Future Fellowships available for funding. The recommending of Future Fellowships is at the ARC's discretion, having regard to the criteria in subsection 4.3.1, the targeted priority areas at subsection 4.3.3 and the matter at subsection 4.2.4.

4.3.3 The round of *Future Fellowships* for funding commencing in 2010 will target the following priority areas of research:

a. National research capacity

The Proposal should demonstrate how the project and the Future Fellowship candidate will increase Australia's capacity to undertake research in the selected discipline/s at the most appropriate

Administering Organisation. Increased national research capacity arises when overseas researchers are attracted to Australia, researchers are attracted to work at the best organisational locations, and potential researchers are attracted to participate in full-time research.

b. Targeted discipline areas

There are a range of disciplinary areas where national capacity needs enhancing, especially by mid-career researchers. The targeted discipline areas are enabling disciplines: mathematics; earth sciences; history; English; sociology; education; and economics.

c. Targeted research areas

These are areas of disciplinary and interdisciplinary research and areas of national significance. The targeted research areas are: Indigenous health and well-being; community and preventative health; environment and climate change; land-based transport systems; immigration; Asian studies; social inclusion and systemic disadvantage; and manufacturing innovation.

4.4 Conflict of Interest

- 4.4.1 All parties involved in or associated with Proposals and ARC-funded research projects are required to disclose to the ARC, and the other parties involved in the Proposal/project (including Host Organisations), any Conflict of Interest which has the potential to influence, or appear to influence, the request for funding, or the research and activities, publications and media reports related to the Proposal/project. Such conflicts must be disclosed to the ARC at the time of the submission of a Proposal, and in reporting on ARC-funded research projects, and notified to the other parties as soon as practicable after the Conflict of Interest is identified.
- 4.4.2 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 If a Conflict of Interest exists or arises, the Administering Organisation must have established processes in place that are well documented for managing the Conflict of Interest for the duration of the project. Such processes must comply with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research (2007)* and any relevant successor document. In the event of any inconsistency between the original and any successor document, the latter document is to apply.

5. Changes from last year

5.1.1 A number of clarifications and revisions have been made in these Funding Rules. Significant changes from the 2009 Future Fellowships Funding Rules include:

- a. The Definitions section contains a definition of Award of PhD Date, Conflict of Interest, Earnings, and Special Studies Program, and a revised definition of Host Organisation (Section 3);
- b. The incorporation of the seven National Innovation Priorities (subsection 4.1.7 f);
- c. Selection criteria weightings have been clarified and amended (subsection 4.3.1);
- d. Targeted priority areas have been added (subsection 4.3.3);
- e. Additional information has been provided on Types of research and budget items supported (Section 6.3) and Restrictions on budget items (Section 6.4), including a limit on the amount of requested travel costs (subsection 6.3.4) and a clarification of services (subsection 6.3.5);
- f. Future Fellows must spend a minimum of 24 months of the fellowship at the Administering Organisation (subsection 7.1.5);
- g. Clarification has been provided on relinquishment of fellowships. The ARC will allow Future Fellows to hold honorary or non-remunerated fellowships where the fellowship does not impair the capacity of the Future Fellow to complete the proposed Future Fellowship project. It is the responsibility of the Administering Organisation to ensure that the honorary or non-remunerated fellowship will not impair the capacity of the Future Fellow to complete the proposed project (subsection 8.2.7);
- h. Clarification regarding mid-career researcher eligibility (Section 8.3) and Eligibility Exemption Requests has been provided (Section 10.1), including that relaxation of the timing requirements will not be approved if the applicant was awarded their PhD more than 22 years ago;
- i. Future Fellowship candidates must select a salary level equal to or greater than their current salary, which is to be entered in the Proposal as full-time equivalent and in Australian dollars (AUD) (subsection 8.5.3);
- j. Administering Organisations no longer have to provide a separate List of Research Strengths;
- k. Proposals are to be submitted through the ARC online application system (RMS) (Section 11);
- l. Areas in which the ARC may exclude Proposals have been updated (Section 12.3);
- m. The Anglo-Australian Observatory (AAO), National ICT Australia Ltd (NICTA) and The Australian Wine Research Institute (AWRI) are now eligible to submit Proposals for funding available under *Future Fellowships* (Appendix C subsection C1.2); and

- n. The list of eligible medical research organisations (previously named Approved NHMRC Administering Institutions) has been revised (Appendix C subsection C1.3).

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

6. Funding

6.1 Level of funding

6.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.

6.1.2 The levels of salary and salary-related (on-cost) funding which will be provided by the ARC for a Future Fellow are set out in Appendix D.

6.1.3 In addition to salary and salary-related (on-cost) support, the ARC will provide Administering Organisations with funding of up to \$50,000 per annum infrastructure funding which may be used for infrastructure, equipment, travel and relocation costs directly related to the Future Fellow's research (see subsection 6.3).

6.1.4 Administering Organisations must specify within the Proposal how the organisation will use up to \$50,000 per annum infrastructure funding to support the research of the proposed Future Fellowship candidate if successful.

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

6.2 Period of funding

6.2.1 Funding may be payable under these Funding Rules for *Future Fellowships* in respect of the financial year 2010–11 and any subsequent years to which the ARC Act applies. Funding for approved fellowships will commence with effect 1 July 2010, unless other arrangements are approved by the Minister.

6.2.2 Fellowships are funded for four years on a full-time basis, subject to sufficient funding being available for the *Future Fellowships* scheme, the provisions of the ARC Act and continued satisfactory progress of the Future Fellowship.

6.2.3 A part-time option for up to six years is available for Future Fellows with family and/or carer responsibilities (subsection 8.4.1b). However, all Future Fellowships are initially awarded on a full-time basis only. Future Fellows with family and/or carer responsibilities may convert to part-time at any time after the award by submitting a request to the ARC through the Research Office (or equivalent) of the Administering Organisation.

- 6.2.4 For the purposes of these Funding Rules, the term of a researcher's fellowship is determined from the date on which the researcher commenced the fellowship.

6.3 Types of research and budget items supported

- 6.3.1 Subject to Sections 6.4 and 6.5, the *Future 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;
 - c. applied research, which is original work undertaken primarily to acquire new knowledge with a specific application in view. Such research is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.
- 6.3.2 The following costs may be supported in the *Future Fellowships* scheme:
- a. salary and salary-related (on-cost) funding which will be provided by the ARC for a Future Fellow as set out in Appendix D.
 - b. up to \$50,000 per annum infrastructure funding may be expended on basic non-salary items directly related to the Future Fellow's research such as (but not exclusively): infrastructure; equipment; travel approved by the ARC; relocation costs; and field trips (subject to subsection 6.3.4).
- 6.3.3 Domestic and international travel costs for the Fellow should be determined using the Australian Public Service rates recommended by the Australian Taxation Office. Funding is permitted for domestic and international travel associated with the project, including to foster and strengthen collaborations between researchers in Australia and overseas.
- 6.3.4 A limit of \$50,000 (from the total \$200,000 infrastructure funding) may be requested for travel and travel related costs by a Future Fellowship candidate over the life of the fellowship. ARC funding will only be approved for amounts exceeding this limit if the travel costs relate to substantial periods of time (at least three months) at a Host Organisation.
- 6.3.5 The ARC recognises that in order to complete the project it may be necessary to obtain the expertise of a third party. The ARC will only approve funding for such services where sufficient justification is provided that the services are related to and necessary for the project. Such services include, but are not limited to: translation services; transcription services; workshop services; data collection and analysis services; and the purchase of bibliographical or archival material (electronic or hardcopy).

6.4 Restrictions on budget items

- 6.4.1 The *Future Fellowships* scheme will not fund budget items which do not directly support a research project. The ARC may in its absolute discretion determine whether any proposed costs meet this requirement.
- 6.4.2 The *Future Fellowships* scheme has restrictions on the following budget items:
- a. **Construction and refurbishment** of general purpose buildings is not funded, in whole or in part, under *Future Fellowships*.
 - b. Under *Future Fellowships*, the Commonwealth will not provide support, in whole or in part, for the **salaries of personnel** other than salary for the Future Fellow. If a Proposal requests salary funding for persons other than the Future Fellow, the Proposal will not be recommended or approved for funding.
 - c. **Stipends** for postgraduate students are not funded, in whole or in part, under *Future Fellowships*.
 - d. *Future Fellowships* funding is not provided to **fund teaching and/or teaching relief**.
 - e. Funds are not provided for travel or related expenses for researchers when on a **Special Studies Program**. A **Special Studies Program** means an approved program providing release from normal duties for research related activity or professional development purposes.
 - f. Under *Future Fellowships*, funds are not provided for **research support** for other investigators, other than the Future Fellow.
 - g. Funds are not provided to pay the **fees of international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP)** liabilities for students.
 - h. The Administering Organisation must agree to provide the following **basic facilities** (where relevant to the Proposal), which will not be funded under the *Future Fellowships* scheme:
 - i. accommodation (e.g. laboratory and office, suitably equipped and furnished in standard ways);
 - ii. access to film or music editing facilities;
 - iii. access to a basic library collection;
 - iv. web hosting;
 - v. standard reference materials or funds for abstracting services;
 - vi. provision of computers (excluding one laptop per candidate every two years, and access to high-performance computers or other specialised applications that are justified against the project) and basic computing facilities such as printers, word processing and other standard software; and
 - vii. use of photocopiers, telephones, mail, fax, email and internet services.

- i. **Publication costs**, including printing and page costs, will not be funded under *Future Fellowships*;
- j. Costs not directly related to a project will not be funded. Examples include, but are not limited to, costs of a personal nature, entertainment costs, hospitality costs, and other indirect costs;
- k. *Future Fellowships* funding is not normally provided for the hosting of workshops and conferences (although costs for the Future Fellow to attend conferences/workshops, including related travel, will be considered); and
- l. *Future Fellowships* funding is not provided for unjustified travel, or travel that does not contribute to the research outcomes of the project.

6.5 Areas of investigation / work not supported

6.5.1 The *Future Fellowships* scheme does not support:

- a. 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;
- b. projects such as uncritical compilations and purely descriptive catalogues or editions that do not involve original research;
- c. production of teaching materials, even though some research may be involved in their production;
- d. compilation of data unless this is an integral part of the project which is judged to be necessary, in which case the Proposal must include a detailed basis for, and statement indicating, the research objectives to which the data would contribute and provide the specific research questions to be addressed based on their significance and academic argument; and/or
- e. development of research aids and tools (including computer programs), unless they form an integral part of the Proposal, in which case the Proposal must include a detailed basis for, and statement indicating, the research objectives to which these activities would contribute and provide the specific questions to be addressed based on their significant and academic argument.

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

6.6 Number of Proposals

6.6.1 Future Fellowship candidates may not be nominated for a Future Fellowship on more than one *Future Fellowships* Proposal in this funding round. For the purpose of applying these limits, the number of Proposals per researcher is evaluated as at the closing time of submission of Proposals for the relevant round, 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 or approved for funding.

- 6.6.2 Future Fellowship candidates may not submit more than two Future Fellowship Proposals in the funding rounds between 2009 and 2013. This includes Proposals that have been withdrawn after the closing time of submission of Proposals. Submitted Proposals that exceed this limit will not be recommended or approved for funding.
- 6.6.3 The funding rules for other ARC funding schemes may specify limits on the number of Proposals or projects Future Fellows may hold under those schemes.
- 6.6.4 Future Fellows cannot apply for a subsequent Future Fellowship.

7. Organisational types, roles and eligibility

7.1 Eligible Organisations

- 7.1.1 A Proposal may be submitted only by an Eligible Organisation. Appendix C specifies Eligible Organisations for the *Future Fellowships* scheme.
- 7.1.2 To be an Eligible Organisation, an organisation must provide an appropriate research training environment.
- 7.1.3 Each Proposal must identify an Administering Organisation. A Proposal may involve two or more organisations (an Administering Organisation and one or more Host Organisations) for the proposed fellowship. The Proposal must indicate how the proposed fellowship aligns with the research strengths and the research staffing profile of the Administering Organisation (Section 11.7).
- 7.1.4 A Proposal must certify that the proposed fellowship can be accommodated within the general facilities of the Administering Organisation specified in a Proposal, including provision of sufficient working and office space to support the Future Fellow's research.
- 7.1.5 Future Fellows must spend a minimum of 24 months of the fellowship at the Administering Organisation.
- 7.1.6 Future Fellows may also conduct research at one or more Host Organisations (that are also Eligible Organisations) other than the Administering Organisation for a period or periods of up to 24 months in total, over the life of the fellowship.

7.2 Host Organisation(s)

- 7.2.1 Each Proposal may also identify one or more Host Organisations which do not have to be Eligible Organisations listed in Appendix C. The Host Organisation(s) must, in the opinion of the ARC, provide a suitable research environment for the Future Fellow.

- 7.2.2 The Proposal must describe the extent of the collaboration between the Future Fellowship candidate and the Host Organisation(s).
- 7.2.3 The Proposal should describe the proposed administrative arrangements between the Administering Organisation and the Host Organisation(s) to accommodate the Future Fellowship candidate.
- 7.2.4 Future Fellows may conduct research at Host Organisations (that are not Eligible Organisations) other than the Administering Organisation for a period or periods of up to 12 months in total, over the life of the fellowship.
- 7.2.5 If the Future Fellowship candidate proposes to undertake research at an organisation other than the Administering Organisation whilst holding a Future Fellowship, this organisation meets the definition of a Host Organisation, and must be listed in the Proposal.

8. Role and eligibility for Future Fellows

8.1 General

- 8.1.1 The Future Fellowship candidate must take significant intellectual responsibility for the proposed project, its conception, and any strategic decisions required in its pursuit and the communication of its results. The researcher must have the capacity to make a serious commitment to the fellowship. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.
- 8.1.2 Future Fellowship candidates must be outstanding mid-career researchers who conduct high quality, innovative research. They must have a record of high quality research outputs and the capacity to build collaborations across industry and/or research institutions and/or disciplines. They should propose research programs in areas of national priority that will deliver significant economic, environmental, social, health or cultural benefits to Australia.
- 8.1.3 Future Fellows are expected to pursue research that is both collaborative and outstanding in their field. To facilitate this aim, Future Fellows may, with the approval of the ARC, undertake research in industry or at a research organisation (in Australia or overseas), providing that this is in the best interests of the research and its outcomes, and of national benefit to Australia (subsection 7.2.4).
- 8.1.4 Future Fellows are expected to spend the majority of their time on research activities related to the proposed fellowship.

8.2 Eligibility criteria for Future Fellows

- 8.2.1 A Proposal must only nominate one researcher for a Future Fellowship (the Future Fellowship candidate). A Future Fellowship candidate must satisfy the eligibility criteria for that role as specified in Section 8 of these Funding Rules.

- 8.2.2 If the ARC considers that a Future 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.
- 8.2.3 For the purposes of the *Future Fellowships* scheme, mid-career researchers are researchers who have between 5 and 15 years research experience since the award of their PhD (or equivalent research qualification) at the closing time of submission of Proposals (subsection 8.3.1).
- 8.2.4 At the closing time of submission of Proposals, all obligations regarding previously funded projects involving the Future Fellowship candidate must have been fulfilled to the satisfaction of the ARC and NHMRC. Such obligations include the provision of satisfactory progress and final reports.
- 8.2.5 Future Fellows must reside predominantly in Australia for the duration of the Future Fellowship, except where ARC approval has been granted (subsections 7.2.4 and 8.1.3). If a Future Fellowship candidate does not have permanent resident status, he/she must obtain permanent or temporary resident status from the Department of Immigration and Citizenship before the Future Fellowship commences.
- 8.2.6 Future Fellows may, with the approval of the ARC, spend no more than 0.05 FTE of their time on teaching activities that are closely related to their research project.
- 8.2.7 Future Fellows must relinquish any fellowships or the duties of any existing appointments prior to the commencement of the Future Fellowship. The ARC will allow Future Fellows to hold honorary or non-remunerated fellowships where the fellowship does not impair the capacity of the Future Fellow to complete the proposed Future Fellowship project. It is the responsibility of the Administering Organisation to ensure that the honorary or non-remunerated fellowship will not impair the capacity of the Future Fellow to complete the proposed project.
- 8.2.8 A Proposal may seek funding for a Future Fellowship only if the Future Fellowship candidate meets the criteria of being a mid-career researcher (subsection 8.3.1).
- 8.2.9 Subject to subsection 8.2.7, at the closing time of submission of Proposals, a candidate who holds an ARC or NHMRC Fellowship may apply for a Future Fellowship only in the final or penultimate year of her/his fellowship.

8.3 Mid-career researchers

- 8.3.1 To be considered a mid-career researcher, Future Fellowship candidates must:
- a. have been awarded a PhD on or between 21 April 1995 and 21 April 2005; or
 - b. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in Section 10.1, for the:

- i. recognition of research experience or an equivalent research qualification; and/or
- ii. relaxation of the qualification and/or timing requirements. Irrespective of this condition, applications for the relaxation of timing will not be approved if the applicant was awarded their PhD more than 22 years ago.

8.3.2 The Eligibility Exemption Request must contain supporting information justifying the Future Fellowship candidate's special circumstances for an eligibility exemption, including information indicating that the candidate's research qualification/experience is equivalent to a PhD obtained within the time limits specified and/or a case justifying the relaxation of the timing requirements. Exemptions may be given by the ARC only if the exemption has been sought in accordance with the process described in Section 10.1.

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

8.4 Future Fellowship support

8.4.1 The following options are available for Future Fellows:

- a. **100 per cent salary and on-costs from the ARC for four years.**
- b. **Part-time salary and pro rata on-costs from the ARC over a period of up to six years.** Part-time fellowships are only available to enable Future Fellows to continue to fulfil family and/or carer responsibilities. Future Fellows may alternate between full-time or part-time status for one or more periods of time during the fellowship provided that the duration of the fellowship does not exceed six years from the date of commencement (excluding any approved periods of suspension and/or maternity and/or parental leave). The Future Fellow would not be permitted to engage in other professional activities for the duration of the fellowship. Any request to change to (or from) part-time hours would need to be made in writing to the ARC through the Research Office of the Administering Organisation. Part-time fellowships must be between 0.5 and 1.0 FTE.

8.5 Salary levels

8.5.1 The ARC salary support for Future Fellows is set out in Appendix D.

8.5.2 Three levels of salary are available for Future Fellows. Future Fellowship candidates must select the most appropriate salary level according to their experience and expertise.

8.5.3 Future Fellowship candidates must select a salary level equal to or greater than their current salary, which is to be entered in the Proposal as FTE and in Australian dollars (AUD). Where a candidate is either unemployed, in part-time employment, or is an international candidate, the minimum salary level applicable should be determined by the candidate's most recent full-time

appointment (at level) and the nearest salary equivalent in Australian dollars (AUD).

- 8.5.4 Future Fellowship candidates must select a Future Fellowship salary level that adheres to:
- a. the requirements of subsections 8.5.2 and 8.5.3;
 - b. the salary guide criteria outlined in subsection 8.5.8; and
 - c. the most appropriate Future Fellowship salary level classification (as outlined in subsections 8.5.9, 8.5.10 and 8.5.11).
- 8.5.5 The ARC has the absolute discretion to permit a relaxation of the requirements outlined in subsection 8.5.3, for circumstances including, but not limited to, candidates who are employed overseas, candidates who are not employed, or candidates who are not receiving a salary, at the time of submission of Proposals.
- 8.5.6 All Future Fellowship candidates will be assessed and ranked against each other, as a single group. If the Future Fellowship candidate is unsuccessful at the nominated level, it is at the ARC's absolute discretion to select a different salary level than applied for by the Future Fellowship candidate.
- 8.5.7 The salary level guide and classifications outlined in subsections 8.5.9, 8.5.10 and 8.5.11, is intended to provide Future Fellowship candidates with guidance as to the standard of candidate expected at each level, in terms of classification relative to opportunities. This guide should be utilised by Future Fellowship candidates when selecting the most appropriate salary level.
- 8.5.8 **Salary level guide for all Future Fellowships**
- a. PhD or equivalent;
 - b. leadership in research, including research training supervision;
 - c. significant contribution to the preparation of research proposals to external funding bodies;
 - d. contribution to strategic research planning;
 - e. strong record of high quality publications in refereed journals or other research output;
 - f. experience in management of research grants;
 - g. collaboration with researchers and external stakeholders; and
 - h. involvement in professional associations.

8.5.9 **Future Fellowship Level 1 – Salary \$98,935 (plus 28% on-costs)**

Classification relative to opportunities:

- a. in general candidates will have between 5 and 9 years research experience since completion of their PhD;
- b. recognised *nationally* as being influential in expanding the knowledge of their discipline area; and
- c. *independent and original* contributions to research, which have a *significant impact* on their field of expertise.

8.5.10 **Future Fellowship Level 2 – Salary \$119,764 (plus 28% on-costs)**

Classification relative to opportunities:

- a. in general candidates will have between 7 and 11 years research experience since completion of their PhD;
- b. recognised *internationally* as being influential in expanding the knowledge of their discipline area;
- c. *independent and original* contributions to research, which have a *significant impact* on their field of expertise; and
- d. *lead and foster excellence in research*, including research training supervision.

8.5.11 **Future Fellowship Level 3 – Salary \$140,592 (plus 28% on-costs)**

Classification relative to opportunities:

- a. in general candidates will have between 10 and 15 years research experience since the completion of their PhD;
- b. recognised *internationally* as being influential in expanding the knowledge of their discipline area;
- c. *outstanding* contributions to research, which have a *high level of impact* on their field of expertise internationally;
- d. *lead and foster excellence in research*, including research training supervision;
- e. contribution to high level research policy; and
- f. initiation and management of large research projects.

9. Cross-scheme issues

9.1 Cross-scheme eligibility

- 9.1.1 If a researcher nominated as a Future Fellowship candidate on a Proposal is involved in a funding request or requests for any proposed research project, salary or equipment that has been submitted under this or any other ARC scheme or to any other Commonwealth funding body, the Proposal must contain details of the request(s) and summary details of all other funding. If these processes are not observed, or the ARC determines that incomplete, misleading or inaccurate details were included in the Proposal, the ARC may

in its absolute discretion decide to recommend that the *Future Fellowships* Proposal not be approved for funding.

- 9.1.2 If the Future Fellowship candidate is concurrently the subject of multiple ARC or NHMRC Fellowship requests, whether these are in one or more ARC or NHMRC 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.
- 9.1.3 The ARC may liaise with other funding agencies to discuss any overlap between proposed or existing research projects (including fellowships) in order to avoid duplication of funding. The ARC may, for this purpose, disclose to such an agency any information in a Proposal.

9.2 Cross-scheme funding and non-duplication

- 9.2.1 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 recommend that the Proposal not be approved for funding. However, if the ARC considers that parts of the proposed project remain worthy of support, the ARC may assess the Proposal in the usual way and the ARC may instead recommend that a reduced amount of funding be approved for the Proposal.
- 9.2.2 Subject to subsections 8.2.7, 8.2.9 and Sections 9.1 and 9.2, project funding received or sought elsewhere for the Future Fellowship candidate (outside the *Future Fellowships* scheme) does not affect the eligibility of a Proposal within the *Future Fellowships* scheme.

10. Application process

10.1 Eligibility Exemption

- 10.1.1 These Funding Rules describe a number of situations where it is possible to submit an Eligibility Exemption Request for the purposes of obtaining an exemption from the ARC regarding the eligibility of a prospective Proposal. All such requests must be submitted via the Research Office of the intended Administering Organisation on the ARC *Eligibility Exemption Request* Form. This form must be sent to ARC-FutureFellowships@arc.gov.au and received by the ARC by **5.00 pm (AEDT) Friday 19 February 2010**, unless otherwise advised.
- 10.1.2 Eligibility Exemption Requests received after **5.00 pm (AEDT) Friday 19 February 2010** will not be considered. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late Eligibility Exemption Requests.

- 10.1.3 An exemption from the eligibility requirements may be granted only if an Eligibility Exemption Request has been submitted in accordance with the requirements of Section 10.1.
- 10.1.4 Eligibility Exemption Requests must include all relevant supporting documentation. The Research Office will be advised of the outcome of any such request as soon as possible. If an Eligibility Exemption is given, the ARC will provide an identifying number for the exemption which is to be quoted on the relevant Proposal.
- 10.1.5 An Eligibility Exemption will only be granted by the ARC if the Future Fellowship candidate can clearly demonstrate a convincing case justifying the relaxation of the timing requirements, or where the candidate's research qualification/experience is equivalent to a PhD obtained within the time limits.
- 10.1.6 The ARC may grant an Eligibility Exemption, subject to subsection 10.1.5, where a Future Fellowship candidate has had significant impairment of their research outputs due to having:
- a. experienced a career interruption due to a period or periods of *approved* maternity/parental/carers leave;
 - b. experienced a career interruption due to a significant period (greater than one month) of unemployment;
 - c. been limited to part-time academic employment, where the part-time position is the candidate's sole source of employment and has limited their research; and/or
 - d. experienced any other exceptional circumstances that have impacted on the candidate's ability to conduct research.
- 10.1.7 The ARC has the absolute discretion to not grant an Eligibility Exemption where a Future Fellowship candidate has:
- a. counted time spent completing a degree or producing publications as research experience;
 - b. experienced time absent from research due to career choice (unless caused by circumstances that were beyond the candidate's control);
 - c. provided insufficient justification or detail in the Eligibility Exemption Request;
 - d. a qualification that is not considered equivalent to a PhD; or
 - e. been awarded their PhD more than 22 years ago (subsection 8.3.1 b. ii.).
- 10.1.8 The ARC *Eligibility Exemption Request* Form is available on the ARC website.

10.2 Proposals

- 10.2.1 A Proposal should be submitted as a mature research plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC, including its Selection Advisory Committees. Additional information must not be submitted and may, at the absolute discretion of the ARC, result in the Proposal being ruled ineligible.
- 10.2.2 All details in the Proposal must be current at the time of submission.
- 10.2.3 In submitting a Proposal, the Administering Organisation and the Future Fellowship candidate nominated in the Proposal are consenting to the Proposal being assessed under the ARC peer assessment procedures and agree to the release of the Proposal to third parties for assessment purposes.
- 10.2.4 The Administering Organisation must certify that it has obtained the agreement of all parties necessary to allow the proposed project to proceed.
- 10.2.5 If the certification of all parties necessary to allow the proposed project to proceed is inaccurate, false or misleading, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

11. Submission of Proposals

11.1 Submission of Proposals

- 11.1.1 Administering Organisations must submit Proposals through the ARC online application system - Research Management System (RMS) unless otherwise advised.

11.2 Proposal content

- 11.2.1 Proposals consist of an online form, which must be completed and submitted via the ARC online application system (RMS). The online form may include the following additional text which, if included, must be attached in PDF format to the online version of the Proposal:
 - a. Research record relative to opportunities;
 - b. Project Description;
 - c. Strategic Statement;
 - d. Budget Justification;
 - e. Research Support; and
 - f. Statements on progress of ARC-funded projects.

11.3 Format

- 11.3.1 All documents must be written in English and must comply strictly with the format, content and submission requirements as specified in these Funding Rules and the *Future Fellowships Instructions to Applicants for funding*

commencing in 2010 document issued by the ARC. If a Proposal fails to meet any format, content or submission requirements, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

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

11.4 How to complete and submit a Proposal

- 11.4.1 Administering Organisations must complete and submit their Proposal using the online form which is accessible via the ARC website.
- 11.4.2 *A Future Fellowships Instructions to Applicants for funding commencing in 2010* document will be available on the ARC website. This document specifies a range of requirements for Proposals and also assists parties in preparing Proposals.
- 11.4.3 Research Offices with system access will approve, along with the ARC, requests for User Accounts, to enable researchers at their organisations to access the ARC online application system (RMS) and prepare Proposals.
- 11.4.4 If a researcher does not have a Research Office or equivalent unit, he/she should email rms@arc.gov.au at the ARC for assistance.
- 11.4.5 If an Eligible Organisation does not have a Research Office unit, they should email rms@arc.gov.au for assistance.

11.5 Closing time for Proposals

- 11.5.1 The online form must be submitted by **5.00 pm (AEST) Wednesday 21 April 2010**.
- 11.5.2 Additions, deletions and modifications will not be accepted after the closing date for submissions, unless invited by the ARC.
- 11.5.3 Future Fellowship candidates should note that Administering Organisations may have internal closing times for Proposal preparation which precede ARC closing times.

11.6 Certification

- 11.6.1 The Administering Organisation must certify Proposals via the ARC online application system (RMS). Research Offices should ensure that the Research Office delegate role is authorised to certify and submit Proposals for their organisation.
- 11.6.2 Using the form available on the ARC website (*Future Fellowships Certification Form*), the Administering Organisation must obtain the agreement of all parties necessary to allow the proposed project to proceed. This signed certification must be attested to by hand-written signatures and certifications from all relevant persons and organisations involved in the Proposal. This form does not need to be submitted with the Proposal but must be provided to the ARC if requested. The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals. 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.
- 11.6.3 A Proposal must be submitted through the appropriate Research Office. The Administering Organisation must certify Proposals via the ARC online application system (RMS). If a Proposal has not been submitted through the appropriate Research Office / Chief Executive Officer for certification, the Proposal will not be recommended or approved for funding.

11.7 Strategic Statement

- 11.7.1 The Administering Organisation must provide a Strategic Statement within the Proposal and should outline how the Future Fellowship candidate and the Proposal being submitted are aligned with existing and/or emerging research strengths of the Administering Organisation.
- 11.7.2 The Strategic Statement must also indicate how the Future Fellowship candidate aligns with and/or complements the staffing profile of the Administering Organisation. If the Future Fellowship Proposal is from a current employee, the Statement should explain how a Future Fellowship would enhance her/his opportunities at the organisation. If the Future Fellowship Proposal is from a non-current or fixed-term employee, plans for integration of the Future Fellow into the ongoing activities of the organisation at the end of the fellowship should be outlined.

12. Selection and approval process

12.1 Assessment and selection process

- 12.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations solely on the basis of its expertise, and which may:
- a. consider if a Proposal satisfies the eligibility criteria set out in these Funding Rules;

- b. identify and consider any other matters that these Funding Rules state may result in the ARC recommending that a Proposal not be approved for funding;
 - c. assign assessors to review Proposals;
 - d. 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.
- 12.1.2 In addition to assessment by the ARC, a Proposal may at the ARC's absolute discretion be assessed by external assessors. Assessors may be drawn from a range of organisations to reduce the potential for Conflicts of Interest. Proposals will be assessed against the criteria set out in these Funding Rules and the reports by the assessors may include written comment.
- 12.1.3 The ARC Selection Advisory Committees may assist with the assessment of Proposals. The ARC has procedures for managing organisational and personal Conflicts of Interest experienced by members of the Selection Advisory Committees, members of other ARC committees, ARC staff, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.
- 12.1.4 The ARC reserves the right to make recommendations for funding to the Minister based on any number of assessments or solely on the assessment of the ARC.
- 12.1.5 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal on a *Request not to Assess Form* available on the ARC website. Such notifications must contain detailed justification and be submitted electronically using the *Request not to Assess Form* through the Administering Organisation's Research Office. This notification must not accompany the Proposal. The notification must be sent to ARC-FutureFellowships@arc.gov.au and received by the ARC by the closing time for Proposals, **5.00 pm (AEST) Wednesday 21 April 2010**.
- 12.1.6 The ARC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

12.2 Recommendations and offer of funding

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

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

12.3 Exclusion of Proposals

- 12.3.1 The ARC will not recommend for approval, and the Minister will not approve for funding, any Proposal that fails to satisfy the eligibility criteria set out in these Funding Rules, including:
- a. if the Proposal seeks funding for projects of the type referred to in subsection 6.4.2 and 6.5.1 and the ARC considers no other part of the proposed project worthy of support;
 - b. if the Proposal is not submitted by an Eligible Organisation (Section 7.1);
 - c. if the ARC considers that a candidate nominated in the Proposal does not meet the eligibility criteria for a Future Fellow as specified in Section 8;
 - d. if a Proposal has not been submitted in the ARC online application system (RMS) through the appropriate Research Office / Chief Executive Officer for certification (Sections 11.1 and 11.6);
 - e. if a Proposal is submitted by a current ARC or NHMRC Fellow who is not in their final or penultimate year of her/his existing fellowship at the time of submission of the Proposal (subsection 8.2.9); or
 - f. if the Proposal is not for a program of research, or a program that supports the conduct of a program of research.
- 12.3.2 The ARC may in its absolute discretion decide to not recommend for approval a Proposal if:
- a. in the opinion of the ARC, the Future 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 and NHMRC (subsection 8.2.4);
 - b. in the opinion of the ARC, any party involved in or associated with a Proposal or ARC-funded research project has failed to disclose to the ARC, or any of the other parties involved in the Proposal, any Conflict of Interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Proposal (subsection 4.4.2);
 - c. the limits on the number of Proposals submitted are exceeded (Section 6.6);
 - d. in the opinion of the ARC, the Proposal duplicates, or is likely to duplicate, research already being funded, or which is likely to be funded, by the Commonwealth (subsection 9.2.1);
 - e. where required the Proposal does not include details of other funding or funding requests (subsection 9.1.1);

- f. the ARC considers that incomplete, inaccurate or misleading material has been provided in relation to the Proposal or if the Administering Organisation and/or Future Fellowship candidate nominated in the Proposal has provided the ARC with incomplete, inaccurate or misleading information in relation to the provision of advice relating to, or in the reporting of progress of, a funded project (subsection 9.1.1, Appendix A subsections A1.8.2 and A1.8.3);
- g. the circumstances of a Proposal are such that an eligibility exemption is required but the required process has not been followed (including that the deadlines have not been met) (Section 10.1);
- h. when requested, the Administering Organisation fails to provide the signed certifications and agreements of all parties necessary to allow the proposed project to proceed (Section 11.6);
- i. the online part of the Proposal is not submitted via the ARC online application system (RMS) (Sections 11.1, 11.4 and 11.6) by the closing time (Section 11.5);
- j. the Proposal fails to meet any format and other submission requirements (Section 11);
- k. the Future Fellowship candidate selects a salary level lower than their current salary (subsection 8.5.3), subject to subsection 8.5.5; or
- l. the Future Fellowship candidate was awarded their PhD more than 22 years ago (subsection 8.3.1).

13. Appeals process

- 13.1.1 Appeals will be considered only against administrative process issues and not, for example, against committee recommendations or assessor ratings and comments.
- 13.1.2 Appeals must be made on the appeals form available on the ARC website. The form must be lodged by the Administering Organisation and must be authorised by a Deputy Vice-Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received by the ARC **within 28 days** of the date on the letter notifying the outcome of Proposals.
- 13.1.3 Appeals must be addressed and sent to the address advised under ‘Contacts’ at the beginning of these Funding Rules.

Fundamental principles and requirements

A1.1 Ethics and research practice

A1.1.1 The NHMRC website, www.nhmrc.gov.au, provides a series of publications which outline principles of ethical conduct in research. All Proposals and ARC-funded research projects must, unless otherwise approved by the ARC, conform to the principles outlined in the following and their successor documents:

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

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

A1.2 Acknowledging ARC support

A1.2.1 The Funding Agreement requires that any ARC contribution to research and other activities funded by the ARC be appropriately acknowledged. When, at any time during or after completion of a project, the researcher or any other party publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the research project, the Administering Organisation must ensure (wherever possible) that the ARC's contribution and support of the project is acknowledged in a prominent place and in an appropriate form. This acknowledgement should include the mention of the ARC as a funding body. Similar efforts should be made to acknowledge ARC support when participating in television and radio programs, when interviewed by the print media and when otherwise speaking publicly about the project.

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

A1.3 Dissemination of research outputs

A1.3.1 The Commonwealth makes a major investment in research to support its essential role in improving the wellbeing of our society. To maximise the benefits from research, findings need to be disseminated as broadly as possible to allow access by other researchers and the wider community.

A1.3.2 The ARC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research. Such considerations include the status and reputation of a journal or publisher, the peer review process of evaluating their research outputs, access

by other stakeholders to their work, the likely impact of their work on users of research and the further dissemination and production of knowledge. Taking heed of these considerations, the ARC endeavours to ensure the widest possible dissemination of the research supported under its funding, in the most effective manner and at the earliest opportunity.

A1.3.3 The ARC encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository. If a researcher is not intending to deposit the data from a project in a repository within six months of the completion of the research, he/she should include the reasons in the project's Final Report. Any research outputs that have been or will be deposited in appropriate repositories should be identified in the Final Report.

A1.4 Applicable law

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

A1.5 Confidentiality

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

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

A1.5.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes, the ARC will require the third parties to maintain the confidentiality of the material.

A1.5.3 Notwithstanding the above, and in addition to the exemptions listed at Appendix A subsection A1.5.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of the Future Fellows and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its

intended outcomes (including the national/community benefits that are expected to arise from the research); and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

A1.6 Project description

A1.6.1 In making public information about a Proposal which has been approved for funding, the ARC may use a project description, including title and summary, which may differ from that provided in the Proposal.

A1.7 Intellectual property

A1.7.1 The ARC does not claim ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a project funded under *Future Fellowships* scheme.

A1.7.2 However, all Proposals become the property of the ARC on submission. Administering Organisations submit their Proposals on the basis that the ARC may copy, modify and otherwise deal with information contained in a Proposal (and allow any external assessor or other third party to do the same) for any purpose related to:

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

A1.7.3 If a Proposal contains information belonging to a third party, the Administering Organisation must ensure that it has in place all necessary consents to allow the ARC to deal with that information in accordance with these Funding Rules, prior to the Administering Organisation submitting its Proposal.

A1.7.4 Except with written approval from the ARC, all Proposals and ARC-funded research projects must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC website) and accord with any intellectual property policies of the researcher's organisations.

A1.8 Incomplete or misleading information

- A1.8.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- A1.8.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- A1.8.3 If an Administering Organisation and/or the researcher nominated in a Proposal as a Future Fellowship candidate has provided the ARC with incomplete, inaccurate or misleading information in relation to any Proposal for, or in the provision of advice relating to or reporting progress of, a project funded by the Commonwealth, the ARC may in its absolute discretion decide to not recommend the Proposal for approval and/or terminate projects involving that organisation/person if funded and require the Administering Organisation to repay some or all of the funding.
- A1.8.4 If the ARC considers that omissions or inclusion of misleading information are intentional, or if there is evidence of misconduct, the ARC may refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt (by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees) to gain financial or other benefits by deceit.
- A1.8.5 Examples of misleading information and misconduct are, but are not restricted to:
- a. providing fictitious research records;
 - b. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
 - c. making false certifications in the ARC online application system (RMS) certification; or
 - d. failing to disclose to the ARC the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the project).

A1.9 Insurance and liabilities

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

Administration of funding

B1.1 Funding Agreement

- B1.1.1 All parties involved in a Proposal should familiarise themselves with the draft Funding Agreement, but only the Administering Organisation and the ARC will be parties to the Funding Agreement. Parties involved in a funded project must accept the terms of the Funding Agreement and the Administering Organisation must sign the Funding Agreement before the ARC will commence payments.
- B1.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of the Funding Agreement.
- B1.1.3 Administering Organisations should note that the Funding Agreement covers post-award management, including reporting requirements and financial management. The draft Funding Agreement can be viewed on the ARC website.

B1.2 Varying the Funding Agreement

- B1.2.1 Requests to vary the Funding Agreement must be forwarded in writing by the Administering Organisation's Research Office to the ARC. Forms are available on the ARC website. Amendment of any clauses of the Funding Agreement will be at the absolute discretion of the ARC.

B1.3 Varying the funding approval

- B1.3.1 Requests to vary the funding approval must be forwarded in writing by the Administering Organisation's Research Office to the ARC.
- B1.3.2 The funding approval may be varied in regard to the amount of financial assistance, the period of financial assistance, and/or the name of the organisation receiving financial assistance.
- B1.3.3 The Minister may vary the funding approval if:
- a. any of the organisations involved in the project end, or substantially change, their involvement with the project;
 - b. the research project changes so that it is no longer consistent with the description in the funding approval as previously approved or as otherwise varied;
 - c. the desirable period of funding for a project is not consistent with the period in the funding approval as previously approved or as otherwise varied; or
 - d. the ARC considers and recommends that the particular circumstances of the project warrant variation of the funding approval, providing such variation is reasonably justified upon the facts of the case and any

variation or change to the project accords with the *Future Fellowships* scheme objectives.

B1.4 Reports

- B1.4.1 Administering Organisations are required to submit reports to the ARC concerning funded projects in the format and by the due dates detailed in the Funding Agreement.

Eligible Organisations

C1.1 Higher Education Organisations

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
University of Southern Queensland
University of the Sunshine Coast

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

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

C1.2 Other Eligible Organisations

The other Eligible Organisations are:

- a. Anglo-Australian Observatory (AAO);
- b. Australian Antarctic Division (AAD);
- c. Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS);
- d. Australian Institute of Marine Science (AIMS);
- e. Australian Nuclear Science and Technology Organisation (ANSTO);
- f. The Australian Wine Research Institute (AWRI);
- g. Commonwealth Scientific and Industrial Research Organisation (CSIRO);
- h. Defence Science and Technology Organisation (DSTO);
- i. Geoscience Australia (GA); and
- j. National ICT Australia Limited (NICTA).
- k. Museums and herbaria which are Australian publicly funded organisations not directly funded to carry out research, but with research related purposes and objectives

C1.3 Eligible medical research organisations

The following NHMRC Accredited Institutes and NHMRC Accredited Independent Research Institutes are eligible medical research organisations:

ANZAC Health and Medical Research Foundation
Baker IDI Heart and Diabetes Institute
The Bionic Ear Institute
Brain Research Institute Pty Ltd
The Cancer Council Victoria
Centenary Institute of Cancer Medicine & Cell Biology
Centre for Eye Research Australia Ltd
Children's Cancer Institute Australia for Medical Research

Children's Medical Research Institute
The Garvan Institute of Medical Research
The George Institute for International Health
The Heart Research Institute Ltd
Howard Florey Institute
Institute for Breathing and Sleep
Institute for Eye Research Ltd
Kolling Institute of Medical Research
Lions Eye Institute Ltd
Ludwig Institute for Cancer Research Ltd
Lung Institute of Western Australia Inc
The Macfarlane Burnet Institute for Medical Research and Public Health Ltd
Mater Medical Research Institute Ltd
Mental Health Research Institute of Victoria
Murdoch Children's Research Institute
National Stroke Research Institute
Prince Henry's Institute of Medical Research
Prince of Wales Medical Research Institute
Queensland Cancer Council
Queensland Institute of Medical Research
Royal Brisbane & Women's Hospital Research Foundation
Schizophrenia Research Institute
St Vincent's Institute of Medical Research
Telethon Institute for Child Health Research
Victor Chang Cardiac Research Institute Ltd
The Wesley Research Institute Ltd
Westmead Millennium Institute
Walter and Eliza Hall Institute for Medical Research
Women's and Children's Health Research Institute Inc
Woolcock Institute of Medical Research Ltd

Appendix D

Future Fellowship salaries & relocation allowances

D1.1 Future Fellowship salaries for funding commencing in 2010*

* The figures in the table below are based on the 2010 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC website.

Future Fellowship Salary Rates	Salary	On-costs 28%	Total
Future Fellowship Step 1 (1.0 FTE)	\$98,935	\$27,703	\$126,638
Future Fellowship Step 2 (1.0 FTE)	\$119,764	\$33,534	\$153,298
Future Fellowship Step 3 (1.0 FTE)	\$140,592	\$39,366	\$179,958

D1.2 Maximum Future Fellowship relocation allowances

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

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

Relocation allowances for Future Fellows must be paid from the \$50,000 infrastructure funding provided to the Administering Organisation. No additional relocation allowances will be paid.