



Australian Government

Australian Research Council

Future Fellowships Funding Rules for funding commencing in 2012

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

29 September 2011

Kim Carr
Minister for Innovation, Industry, Science and Research

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Key Dates

Closing time for Eligibility Exemption Requests	5.00 pm (AEDT) 19 October 2011
Closing time for submission of Proposals	5.00 pm (AEDT) 30 November 2011
Deadline for Request not to Assess	5.00 pm (AEDT) 30 November 2011

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

Future Fellowship	On or between 30 November 1996 and 30 November 2006
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Contacts

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

ARC Contacts:

by mail to:

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

by courier to:

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

Email: ARC-FutureFellowships@arc.gov.au

Phone: 02 6287 6600

Fax: 02 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
Level 2, 11 Lancaster Place,
Majura Park
CANBERRA ACT 2609

RMS Helpdesk:

Email: rms@arc.gov.au

Phone: 02 6287 6789

1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Future 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 *Future Fellowships* 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.

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.

Centre Personnel means the Centre Director, Research Director, Chief Operations Officer, Chief Investigators or Specified Personnel in the ARC Research Centres Program.

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.

Eligibility Exemption Request is for the purposes of obtaining an exemption from the ARC regarding the eligibility of a prospective Proposal.

Eligible Organisation means an organisation listed in Appendix A.

Funding Agreement means the agreement entered into by the ARC and an Administering Organisation when a Proposal from that organisation is approved for funding. This Agreement sets out the terms and conditions under which the Commonwealth will provide funding and the Administering Organisation will be responsible for administration of the funding and the conduct of the Project.

Future Fellow means a researcher who receives funding under the ARC *Future Fellowships* scheme.

Future Fellowship Candidate means a researcher nominated in a Proposal for a Future Fellowship.

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 the Future Fellow undertakes her/his research.

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*.

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 September 2011 and have been prepared in accordance with the requirements of the Act in force then.
- 4.1.2 The *Future Fellowships* scheme provides funding to Eligible Organisations to support research.
- 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] applications¹.

4.2 Future Fellowships

- 4.2.1 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 and/or cultural benefits for Australia; and
 - d. strengthen Australia's research capacity by supporting innovative, internationally competitive research.
- 4.2.2 Over a five-year period (2009 -2013), *Future Fellowships* will offer four-year fellowships to 1,000 mid-career researchers.

4.3 Selection Criteria and Targeted Priority Areas

- 4.3.1 Proposals will be assessed and ranked using the following selection criteria:
- a. Future Fellowship Candidate 40%
 - i. research opportunity and performance evidence (ROPE);
 - ii. capacity and leadership to undertake the proposed research;
 - iii. record of high quality research outputs appropriate to the discipline/s;
 - iv. evidence of national and/or international research standing; and
 - v. contribution to national and/or international public policy debates and initiatives.
 - b. Project Quality 35%
 - i. does the research address a significant problem?
 - ii. is the conceptual/theoretical framework innovative and original?
 - iii. will the aims, concepts, methods and results advance knowledge?

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

- iv. are the design and methods appropriate?
 - v. will the proposed research provide economic, environmental, social, health and/or cultural benefit to Australia?
 - vi. is there a contribution to public policy formulation and debate?
 - vii. does the proposed Project address National Research Priorities?
 - viii. will the proposed Project contribute significantly to the advancement of knowledge in one or more of the targeted priority areas in subsection 4.3.2?
- c. Strategic Alignment 15%
- i. how well does the Future Fellowship Candidate align with and/or complement the research strengths or developing research strengths and staffing profile of the Administering Organisation?
 - ii. are the necessary facilities to complete the proposed Project available?
 - iii. what resources will be provided by the Administering Organisation to support the Future Fellowship Candidate during her/his Fellowship and after the end of the Future Fellowship?
- d. Collaboration / Outreach 10%
- i. are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?
 - ii. how will the Future Fellowship Candidate build collaboration across industry and/or research institutions and/or with other disciplines?

4.3.2 *Future Fellowships* funding commencing in 2012 encourages Proposals in the following targeted priority areas:

a. National research capacity

The Proposal should demonstrate how the Project and the Future Fellowship Candidate will increase Australia's research capacity to undertake research in the targeted areas at the most appropriate Administering Organisation, including, attracting Australian or overseas researchers to conduct research in the best research environment whilst developing existing or emerging research strengths.

b. Targeted research areas

The targeted research areas of national significance are: bioinformatics; computer system security; Indigenous health and wellbeing; managing innovation, renewable energy and green technology; pattern recognition and data mining; safeguarding Australia (especially electronic security, surveillance and detection); understanding culture and communities.

4.4 Strategic Statement

The Administering Organisation must provide a strategic statement within the Proposal which:

- a. details the existing and/or emerging research strengths of the Administering Organisation;
- b. describes how the Future Fellowship Candidate aligns with and/or complements the staffing profile of the Administering Organisation;
- c. outlines plans for integration of the Future Fellowship Candidate into the ongoing activities of the organisation at the end of the Fellowship; and

- d. is signed by the Deputy Vice-Chancellor (Research), Chief Executive Officer or equivalent.

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 A Future Fellowship may be requested/awarded at one of three salary levels and salary-related (on-cost) funding.
- 5.1.3 A Future Fellowship will be funded for four years on a full-time basis.
- 5.1.4 An Administering Organisation may be awarded up to \$50,000 of non-salary funding per annum which may be used for infrastructure, equipment, travel and relocation costs directly related to the Future Fellow's research.
- 5.1.5 Funding for approved Projects will commence with effect on 1 July 2012, unless other arrangements are approved by the Minister.

5.2 Budget Items Supported

Budget items which directly support the Future Fellowship Candidate's research may be funded from the non-salary funding. Examples of such budget items may include:

- a. maintenance, infrastructure and equipment required for the Future Fellowship Project. Funding will not be provided for infrastructure and equipment that is deemed to be for general use;
- b. one laptop every two years, and proportional access to high-performance computers or other specialised computer applications that are justified against the proposed Project for use only by the Future Fellow;
- c. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed 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);
- d. 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;
- e. relocation costs subject to the policies of the Administering Organisation; and
- f. travel costs (excluding relocation costs) subject to the policies of the Administering Organisation not exceeding \$50,000 over the life of the Fellowship.

5.3 Budget Items Not Supported

- 5.3.1 Budget items which will not be supported by ARC funding include:
 - a. construction and refurbishment of general purpose buildings in whole or in part;

- b. salaries for personnel other than the Future Fellow (unless allowed in subsection 5.2c);
- c. research support, including travel, for other investigators, other than the Future Fellow;
- d. web development;
- e. stipends for postgraduate students in whole or in part;
- f. teaching and/or teaching relief;
- g. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students;
- h. 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)), entertainment costs, hospitality costs, and other indirect costs; and
- i. hosting of workshops and conferences.

5.3.2 The following basic facilities must be provided and funded by the Administering Organisation and be accessible to the Future 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. standard reference materials;
- e. web hosting;
- f. provision of computers and basic computing facilities such as printers, word processing and other standard software; and
- g. use of photocopiers, telephones, mail, fax, email and internet services.

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

Except where such activities meet the definition of research at subsection 4.1.3, the *Future 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.

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 A Proposal may involve one Administering Organisation and one or more Host Organisations.

6.2 Host Organisations

6.2.1 If the Future Fellowship Candidate proposes to undertake research at an organisation other than the Administering Organisation whilst holding a Future Fellowship, this organisation must be listed as a Host Organisation within the Proposal.

6.2.2 Each Proposal may identify one or more Host Organisations which do not have to be Eligible Organisations listed in Appendix A.

6.2.3 The Proposal must describe:

- a. the extent of the collaboration between the Future Fellowship Candidate and the Host Organisation(s);
- b. the extent to which the Host Organisation(s) will accommodate the Future Fellowship Candidate; and
- c. how the Host Organisation(s) will provide a suitable research environment for the Future Fellowship Candidate.

6.2.4 The Future Fellow may conduct research at the Host Organisation(s), providing that it is in the best interests of the research and its outcomes, and is of national benefit to Australia for a period or periods of up to:

- a. twelve (12) months in total, over the life of the Future Fellowship at Host Organisations that are not Eligible Organisations and/or research related fieldwork; or
- b. twenty-four (24) months in total, over the life of the Future Fellowship at Host Organisations that are Eligible Organisations.

7. Role and Eligibility for the Future Fellow

7.1 General

7.1.1 The Future Fellow must take significant intellectual responsibility for the 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.

7.1.2 The Future Fellow is expected to spend the majority of her/his time on research activities related to the proposed Fellowship and may not engage in other professional employment for the duration of the Fellowship.

7.1.3 The Future Fellowship is initially awarded on a full-time basis only. The Fellowship may be converted to (or from) part-time at any time after the award only to enable the Future Fellow to continue to fulfil family and/or carer responsibilities, provided 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). A Fellowship can be converted to working hours between 0.5 and 1.0 full-time equivalent (FTE) by submitting a request to the ARC through the Research Office (or equivalent) of the Administering Organisation.

7.1.4 The Administering Organisation must ensure the Future Fellow has access to periods of up to 14 weeks paid maternity leave where such leave is taken during

the course of the Fellowship. The ARC will provide up to 14 weeks additional funding for this purpose. The Administering Organisation must seek ARC approval for any extension to the life of the Project exceeding the 14 weeks paid maternity leave.

- 7.1.5 The Future Fellow may spend up to 0.05 FTE of her/his time annually on teaching activities. Supervision of honours or postgraduate students is not included in this limit.
- 7.1.6 The Future Fellow must conduct research for a minimum of 24 months of the Fellowship at the Administering Organisation.
- 7.1.7 The Future Fellow must be employed by the Administering Organisation for the duration of the Fellowship.

7.2 Eligibility Criteria for the Future Fellow

- 7.2.1 A Proposal must only nominate one Future Fellowship Candidate.
- 7.2.2 For the purposes of the *Future Fellowships* scheme, mid-career researchers have between 5 and 15 years research experience since the award of their PhD (or equivalent research qualification) at the closing time for submission of Proposals. To be considered a mid-career researcher, the Future Fellowship Candidate must:
 - a. have been awarded a PhD on or between 30 November 1996 and 30 November 2006; or
 - b. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in Section 10, for the:
 - i. recognition of research experience or a research qualification equivalent to between 5 and 15 years research experience since the award of a PhD; and/or
 - ii. variation of the qualification and/or timing requirements. Applications for the variation of timing will not be approved if the researcher was awarded their PhD less than 5 years or more than 22 years from the closing date for submission of Proposals.
- 7.2.3 At the closing time of submission of Proposals, all obligations regarding previously funded ARC and the National Health and Medical Research Council (NHMRC) Projects involving the Future Fellowship Candidate must have been fulfilled to the satisfaction of the ARC or NHMRC. Such obligations include the provision of satisfactory progress and final reports.
- 7.2.4 The Future Fellow must legally reside predominantly in Australia for the duration of the Future Fellowship, except where ARC approval has been granted.
- 7.2.5 The Future Fellow must relinquish any Fellowships or the duties of any existing appointments prior to commencement. The Future Fellow may hold honorary or non-remunerated Fellowships. The Administering Organisation must ensure that honorary or non-remunerated Fellowships will not impair the capacity of the Future Fellow to complete the proposed Project.
- 7.2.6 Subject to subsection 7.2.5, at the closing time of submission of Proposals, a Future Fellowship Candidate who holds an ARC or NHMRC Fellowship may apply for a Future 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.
- 7.2.7 The Future Fellow cannot commence another ARC Fellowship until the entire Future Fellowship salary component has been expended.

8. Salary Levels

- 8.1.1 A Future Fellowship salary may be requested and awarded at one of three salary levels (2011\$) (plus salary-related (on-cost) funding), which is either equivalent to or higher than the academic salary level of the Future Fellowship Candidate as at the closing time for submission of Proposals.

Table 1: Future Fellowship Salary Levels

Future Fellowship Salary Levels	Salary	On-costs 28%	Total
Future Fellowship Level 1 (1.0 FTE)	\$100,493	\$28,139	\$128,632
Future Fellowship Level 2 (1.0 FTE)	\$121,651	\$34,063	\$155,714
Future Fellowship Level 3 (1.0 FTE)	\$142,806	\$39,986	\$182,792

- 8.1.2 Where the Future Fellowship Candidate is either unemployed, in part-time employment, or is an international researcher, the minimum salary level applicable should be determined by the Future Fellowship Candidate's most recent full-time appointment (at level) and the nearest salary equivalent in Australian dollars (\$A). Researchers with a current salary level greater than Future Fellowship Level 3 can only apply for a Future Fellowship Level 3.
- 8.1.3 The ARC has the absolute discretion to permit a variation of the requirements outlined in subsection 8.1.1, for circumstances including, but not limited to, Future Fellowship Candidates who are employed overseas, who are not employed, or who are not receiving a salary, at the time of submission of Proposals.
- 8.1.4 The salary level guide and classifications outlined are intended to provide the Future Fellowship Candidate with guidance as to the standard expected at each Future Fellowship Salary Level, in terms of classification relative to opportunities.
- 8.1.5 **Future Fellowship Level 1 – Salary \$100,493 (plus 28% on-costs)**
A Future Fellowship Level 1 Candidate will:
- be equivalent to Academic Level C (or at a salary level below) within an Australian University;
 - be recognised nationally as being influential in expanding the knowledge of their discipline area; and
 - have made independent and original contributions to research, which have a significant impact on their field of expertise.
- 8.1.6 **Future Fellowship Level 2 – Salary \$121,651 (plus 28% on-costs)**
A Future Fellowship Level 2 Candidate will:
- be equivalent to Academic Level D (or at a salary level below) within an Australian University;
 - be recognised internationally as being influential in expanding the knowledge of their discipline area;
 - have made 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.

8.1.7 **Future Fellowship Level 3 – Salary \$142,806 (plus 28% on-costs)**

A Future Fellowship Level 3 Candidate will:

- a. be equivalent to Academic Level E (or at a salary level below) within an Australian University;
- b. be recognised internationally as being influential in expanding the knowledge of their discipline area;
- c. have made 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. make or have made a contribution to high level research policy; and
- f. be capable of initiation and management of large research projects.

9. Number of Proposals, Funded Projects and Cross-Scheme Eligibility

9.1 Number of Proposals and Funded Projects

- 9.1.1 The Future Fellowship Candidate may be nominated on no more than one *Future Fellowships* 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.
- 9.1.2 The Future Fellowship Candidate 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 and Proposals which were deemed ineligible by the ARC.
- 9.1.3 A Future Fellow cannot apply for a subsequent Future Fellowship.
- 9.1.4 A Future Fellow may only receive funding concurrently for a maximum of two Discovery Projects. If two Projects are funded concurrently under the *Discovery Projects* scheme only one can be as sole CI.
- 9.1.5 A Future Fellow will not be permitted to relinquish a CI, Fellow or Centre Personnel role or existing ARC grants held on 1 July 2012, to circumvent these limits.
- 9.1.6 Proposals may be submitted only to the extent that, if successful, the Future Fellowship Candidate nominated on the Proposal would not be involved in more than the maximum number of Projects permitted after 1 July 2012 evaluated as at the closing time of submission of Proposals. A Project is considered to be funded for the years set out in the Funding Agreement.

9.2 Proposal Eligibility

- 9.2.1 The ARC will not duplicate funding for research, including infrastructure, funded as at 1 July 2012 by the Commonwealth.

- 9.2.2 The Proposal must list all current funding and requested funding for the Future Fellowship Candidate under any ARC scheme or any other Commonwealth funding scheme.
- 9.2.3 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.

9.3 Cross-Scheme Eligibility

- 9.3.1 Researchers cannot submit a *Future Fellowships* Proposal for funding commencing in 2012 and:
- a. a *Discovery Early Career Researcher Award* for funding commencing in 2013;
 - b. a *Discovery Outstanding Researcher Award (DORA)* within a *Discovery Projects* Proposal for funding commencing in 2013;
 - c. an *Australian Laureate Fellowships* Proposal for funding commencing in 2012; or
 - d. a Fellowship or other career award on a NHMRC Proposal for funding commencing in 2012 or 2013.

10. Eligibility Exemption

- 10.1.1 An Eligibility Exemption Request, including all supporting documentation, must be submitted on the ARC *Eligibility Exemption Request* Form. This form must be submitted through the RMS and received by the ARC by **5.00 pm (AEDT) Wednesday 19 October 2011**, unless otherwise advised.
- 10.1.2 Eligibility Exemption Requests received after **5.00 pm (AEDT) Wednesday 19 October 2011** will only be considered in exceptional circumstances.
- 10.1.3 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.
- 10.1.4 The ARC may grant an Eligibility Exemption for the Future Fellowship Candidate commensurate with a significant interruption or limitation of their research outputs owing to:
- a. periods of approved maternity/parental/carers leave;
 - b. greater than three months of unemployment;
 - c. part-time academic employment, where the part-time position is the Future Fellowship Candidate's sole source of employment; and/or
 - d. any other exceptional circumstances.
- 10.1.5 The ARC may grant an Eligibility Exemption for the Future Fellowship Candidate where evidence can be provided to indicate that the Future Fellowship Candidate's research qualification/experience is equivalent to a PhD obtained within the time limits (see subsection 7.2.2b).
- 10.1.6 The ARC *Eligibility Exemption Request* Form is available on the ARC website.

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 in the RMS

- 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 (AEST) Wednesday 30 November 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 (AEST) Friday 17 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 a Proposal online in the RMS. Research Offices should ensure that the Research Office delegate role is authorised in the 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 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 Selection Advisory Committee, 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 (AEST), Wednesday 30 November 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 *Future 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 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 and 3: 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 has 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 Future 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:

NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research (2007)*;

as applicable, the NHMRC/ARC/AVCC *National Statement on Ethical Conduct in Human Research (2007)*; and

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 the ARC’s personnel to enable effective management or auditing of the ARC *Future 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 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; 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 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.

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

A1.3 Medical Research Institutes

ANZAC Research Institute
Baker IDI Heart and Diabetes Institute
Bionic Ear Institute
Brain Research Institute Pty Ltd
Brien Holden Vision Institute
Burnet Institute
The Cancer Council Victoria
Centenary Institute
Centre for Eye Research Australia
Children's Cancer Institute Australia for Medical Research
Children's Medical Research Institute
Garvan Institute of Medical Research
The George Institute for International Health
Heart Research Institute
Howard Florey Institute
Institute for Breathing and Sleep
Kolling Institute of Medical Research
Lions Eye Institute
Ludwig Institute for Cancer Research
Lung Institute of Western Australia Inc
Mater Medical Research Institute Ltd
Mental Health Research Institute of Victoria
Murdoch Children's Research Institute
National Stroke Research Institute
Neuroscience Research Australia

Prince Henry's Institute of Medical Research
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
The Wesley Research Institute
Westmead Millennium Institute
Walter and Eliza Hall Institute for Medical Research
Women's and Children's Health Research Institute
Woolcock Institute of Medical Research