



Australian Government

Australian Research Council

*Call for Proposals for an
Australian Research Council
and
National Water Commission
Co-funded Centre for Groundwater
Research and Training*

Australian Research Council

***Australian Research Council and
National Water Commission
Co-funded Centre for
Groundwater Research and Training***

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Acronyms

The following acronyms are used in ARC Funding Rules.

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

NWI	National Water Initiative
PI	Partner Investigator
QEII	Queen Elizabeth II Fellowship
RN	<i>ARC Research Networks</i>
SPIRT	<i>Strategic Partnerships with Industry – Research and Training</i>
SRC	<i>ARC Special Research Centres</i>
SRI	<i>ARC Special Research Initiatives</i>
SRF	ARC Senior Research Fellowship
UA	Universities Australia
URL	Universal Resource Locator

Key Times

Key times for the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative include:

Closing time for submission of Proposals – 17:00 (AEST) Friday 30 May 2008

Deadline for requests relating to assessor exclusion – 17:00 (AEST) Friday 30 May 2008

(Requests for assessor exclusion must be in the form of a separate letter, *not* an integral part of the Proposal)

Contacts

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

Enquiries about the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative may be made to:

ARC/NWC Co-funded Centre for Groundwater Research and Training Coordinator
Australian Research Council
Email: ncgp@arc.gov.au
Phone: 02 6287 6600
Fax: 02 6287 6638
Web: <http://www.arc.gov.au>

For Proposal submission information, please refer to Section 5.3.

Definitions for the *ARC/NWC Co-funded Centre for Groundwater Research and Training* Call for Proposals

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

Administering Organisation means an Eligible Organisation which submits a Proposal for funding under this Call and which will receive and be responsible for the administration of the funding if the proposed Centre is approved for funding.

Applicant means the Administering Organisation. Funding under the *Special Research Initiatives* (SRI) scheme 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*, ARC *Special Research Centres* and co-funded Centres of Excellence such as the Australian Centre for Plant Functional Genomics (ACPFG), the Australian Stem Cell Centre (ASCC) and National ICT Australia (NICTA).

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

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

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

Collaborating Organisation means an Eligible Organisation which is not the Administering Organisation but which is identified in the Proposal as a contributor to the project.

Commonwealth means the Commonwealth of Australia.

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

Deputy Director means a person appointed to assist the Centre Director in directing the programs of a Commonwealth-funded Research Centre.

Earnings means the amount paid directly or indirectly as remuneration for work a person undertakes or 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 this initiative as specified in Section 4.1.

Federation Fellow means a researcher whose salary is funded under the Federation Fellowship scheme.

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 the *Special Research Initiatives Funding Rules for funding commencing in 2008-2009 or 2009-2010*.

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

Interim Director means the first-named CI on the Proposal for an ARC Centre.

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

Minister means the Minister from time to time responsible for the administration of the ARC Act (currently the Minister for Education, Science and Training), or the Minister's delegate.

National Research Priority means a national research priority detailed in Appendix 4 of the Funding Rules.

NWC means the National Water Commission, as established under the NWC Act.

NWC Act means the *National Water Commission Act 2004*.

NWI means the National Water Initiative as implemented and managed by the NWC.

Partner Investigator means a researcher who satisfies the eligibility criteria for a Partner Investigator.

Partner Organisation means an organisation, other than an Eligible Organisation, which is to be a contributor to the project.

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

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

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

Proposed ARC/NWC Co-funded Centre for Groundwater Research and Training

1 Introduction

1.1 Overview

- 1.1.1 This document (this Call) invites Proposals from Eligible Organisations (see Section 4.1 and Appendix 1) for funding collaborative research to address the National Research Priority Area of ‘An Environmentally Sustainable Australia’ through the funding of the establishment of an *ARC/NWC Co-funded Centre for Groundwater Research and Training*. The Centre will be co-funded by the Australian Research Council (ARC) and the National Water Commission (NWC). Proposals must comply with the ARC’s *Special Research Initiatives Funding Rules for funding commencing in 2008-2009 or 2009-2010* (SRI Funding Rules), available on the ARC’s Web Site, as well as with the requirements described in this Call.
- 1.1.2 All parties involved in a Proposal should read and understand the SRI Funding Rules, this Call and the ARC’s standard Funding Agreement for the proposed Centre (which will be available on the ARC’s Web Site) before submitting a Proposal to the ARC. Administering Organisations are responsible for ensuring that their Proposal is complete and accurate.
- 1.1.3 The SRI Funding Rules are current as at February 2008 and have been prepared in accordance with the requirements of the ARC Act in force then. The SRI Funding Rules and this Call are subject to change at any time, for reasons including any subsequent amendment to, replacement or supplementation of the ARC Act.
- 1.1.4 Funding under the SRI Funding Rules is provided to the Administering Organisation, not to researchers. That is, the ARC will accept a Proposal only from an Eligible Organisation and not from any individual researcher or researchers.

1.2 Background

- 1.2.1 The ARC is a statutory authority within the Australian Government’s Innovation, Industry, Science and Research portfolio. Established under the ARC Act, the ARC advises the Government on research matters and manages the National Competitive Grants Program (NCGP), a significant component of Australia’s investment in research activities. The NWC is an independent statutory body in the Environment, Water, Heritage and the Arts portfolio. Its role is to drive the national water reform agenda. Established under the *National Water Commission Act 2004*, the Commission provides advice to the Council of Australian Governments (COAG) and the Australian Government on national water issues.
- 1.2.2 The ARC has established a range of competitive funding schemes for the support of research and research training under the framework of the NCGP. A list of current NCGP funding schemes is available on the ARC’s Web Site.
- 1.2.3 By the operation of a range of funding schemes under the NCGP, the ARC aims to:
- a. maintain and build on existing research and research training;

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

1.2.4 Descriptions of these National Research Priorities and their associated Priority Goals can be found in Appendix 4 of the SRI Funding Rules, and on the ARC's Web Site.

1.2.5 The ARC, in conjunction with the NWC, wishes to progress the Australian Government's National Research Priorities. In particular, this initiative will work to progress the National Research Priority Area of 'An Environmentally Sustainable Australia' and the framework for water reform as outlined in the National Water Initiative (NWI). A summary of the NWI can be found in Appendix 2 (full details of the NWI can be found on the NWC's web site: <http://www.nwc.gov.au/nwi/index.cfm>).

1.2.6 The ARC and the NWC have identified an *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative for funding, to be awarded under the ARC's *Special Research Initiatives (SRI)* scheme. The ARC and the NWC intend to jointly support an *ARC/NWC Co-funded Centre for Groundwater Research and Training*.

1.2.7 The proposed Centre will provide scale and focus to Australia's groundwater research effort, building research capacity and providing outcomes of significant national benefit. It will undertake research in all aspects of groundwater and will lead the training of a new generation of hydrogeologists, groundwater engineers and groundwater managers.

1.3 Objectives of the funding initiative

1.3.1 The objective of this initiative is to establish an *ARC/NWC Co-funded Centre for Groundwater Research and Training* which supports novel, innovative and cross-disciplinary research and relevant training in the field of groundwater, and which enhances and underpins the NWI, specifically:

- Groundwater resources assessments and modelling, including surface water interactions, recharge and discharge, extraction, sustainable use, managed aquifer recharge analyses, environmental impacts and approaches to water accounting
- Groundwater monitoring, including quality
- 3D aquifer characterisation
- 3D digital groundwater resource database development
- Development of decision support systems and public access to data and information
- Training a new generation of hydrogeologists, groundwater engineers and managers
- Assessment of community, social and economic factors, including land use and climate change impacts

1.3.2 The research resources of the Centre will be directed towards addressing the National Research Priority Goal for *An Environmentally Sustainable Australia (Water – a critical resource)* and will address challenging and significant problems, and produce outcomes

of environmental, economic, social and cultural benefit to Australia. The framework for water reform as outlined in the National Water Initiative (NWI; see also Appendix 2) will also be relevant.

- 1.3.3 The Centre will be characterised by significant collaboration involving the research resources of universities. It will pursue engagement with, and secure financial contributions from, publicly funded research institutes, and government and business entities.
- 1.3.4 The *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative invites Proposals which can demonstrate that the proposed Centre can enhance collaboration among organisations in the National Research Priority of ‘An Environmentally Sustainable Australia’. The Administering Organisation and the other organisations involved in the Centre are required to provide resources, either cash or in-kind (such as access to data, researchers or facilities), for the proposed Centre.

1.4 Objectives of the Centre

- 1.4.1 The objective of this initiative is to establish and operate an *ARC/NWC Co-funded Centre for Groundwater Research and Training*. The Centre will promote the following objectives:
 - a. undertaking highly innovative research at the forefront of developments within areas of national importance, with a scale and a focus leading to outstanding international and national recognition;
 - b. enhancing the scale and focus of research in the designated National Research Priority: An Environmentally Sustainable Australia. (Full descriptions of the National Research Priorities and their associated Priority Goals can be found in Appendix 4 of the SRI Funding Rules and on the ARC’s Web Site.);
 - c. undertaking research and training relevant to the management of Australia’s groundwater resources;
 - d. promoting research that will enhance Australia’s future environmental, economic, social and cultural wellbeing;
 - e. linking existing Australian research strengths and building new capacity for interdisciplinary, collaborative approaches to address the most challenging and significant research problems;
 - f. building Australia’s human capacity in a range of research areas by attracting, from within Australia and abroad, researchers of high international standing as well as the most promising research students;
 - g. providing high-quality postgraduate and postdoctoral training environments for the next generation of professionals, and researchers in innovative and internationally competitive research;
 - h. offering Australian researchers access to world-class infrastructure and equipment, and to key research technologies;
 - i. developing relationships and building new networks with major international Centres and research programs that help achieve global competitiveness and recognition for Australian research; and
 - j. establishing a Centre of such repute in the wider community that it will serve as a point of interaction among higher education organisations, Governments, industry and the private sector generally.

1.5 Fundamental principles and requirements

Ethics and research practices

- 1.5.1 The National Health and Medical Research Council (NHMRC) web site, <http://www.nhmrc.gov.au>, provides a series of publications which outline principles of ethical conduct in research. All Proposals and ARC/NWC-funded research projects must, unless otherwise approved by the ARC, conform to the principles outlined in the following and (if applicable) 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.
- 1.5.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

Non-duplication

- 1.5.3 The ARC/NWC will not provide financial assistance to meet the costs of a project to the extent that those costs have been, or are likely to be, met from other Commonwealth funding schemes. The ARC, in consultation with the NWC, reserves the right to:
- a. determine if a Proposal includes such costs and deem a notional amount for them; and
 - b. recommend a reduced amount of funding for the proposed Centre accordingly.
- 1.5.4 If such costs are, in the opinion of the ARC, a significant portion of the costs for a proposed Centre, the ARC, in consultation with the NWC, may decide to recommend that the Proposal not be funded at all.

Conflict of interest

- 1.5.5 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 (including Collaborating and Partner Organisations), 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. Such conflicts must be disclosed to the ARC and NWC at the time of the submission of a Proposal, and in reporting on ARC/NWC-funded research projects, and notified to the other parties as soon as practicable after the conflict of interest is identified.
- 1.5.6 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.
- 1.5.7 If a conflict of interest exists or arises, the Administering Organisation must have processes in place and documented for managing the conflict of interest for the duration of the Centre. 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.

1.6 Characteristics of the Centre

Focus on research and training

- 1.6.1 The Centre will be established on the basis of the excellence of the proposed research and training program, the excellence of the participating researchers, and the potential of both to contribute to the environmental, economic, social and cultural development of Australia. The Centre must build on Australia's existing strengths and develop additional capacity to generate new knowledge. The Centre will focus research on areas of national importance, including enhancing and underpinning implementation of the NWI, and must address challenging and significant problems, the resolution of which will lead to international acclaim and offer benefits to potential end-users. It must use strategic networking and linkages to build the critical mass required to make a measurable impact in the focal areas of its research program.
- 1.6.2 The Centre must provide a world-class research environment that is attractive to leading researchers and effective in developing the careers of outstanding early-career Australian researchers, research leaders and professionals. The education, outreach and professional development programs of the Centre must build understanding of, and expertise in, specific research areas at regional and national level.

Dissemination of research outputs

- 1.6.3 The Centre is likely to generate knowledge that has the potential for development to the point of application (for instance, in shaping public policy and/or influencing end users). The ARC/NWC aims to help ensure that the value of such potential applications is captured for the national benefit. Accordingly, the Centre must foster amongst its staff an awareness of sound innovation and policy practice. The national and international connections of the Centre may include both public and private sector organisations and/or organisations that will assist the inflow of information and ideas regarding important advances in research and policy application of interest to Australia.
- 1.6.4 The ARC/NWC 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. Notwithstanding these considerations, the ARC/NWC wants to ensure the widest possible dissemination of the research supported under their funding, in the most effective manner and at the earliest opportunity.
- 1.6.5 The ARC/NWC therefore encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository. 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 Centre's Annual and Final Reports. Any research outputs that have been or will be deposited in appropriate repositories should be identified in the Final Report.
- 1.6.6 Except with written approval from the ARC, the Centre must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC's Web Site) and accord with any intellectual property policies of the organisations involved in the Centre.

Acknowledging ARC and NWC support

- 1.6.7 The Centre may consist of a number of geographically separated research sites or nodes which are nevertheless fully integrated into the research program of the Centre. It must have a prominent identity and physical presence at all nodes, as well as high visibility on the World Wide Web, and will be required by the Funding Agreement to acknowledge the ARC/NWC's funding in the name of the Centre.
- 1.6.8 In addition, 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/NWC'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/NWC as funding bodies. Similar efforts should be made to acknowledge ARC/NWC support when participating in television and radio programs, when interviewed by the print media and when otherwise speaking publicly about the project.
- 1.6.9 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC's Web Site. Advice on the use of the NWC logo should be sought from the NWC.

Governance

- 1.6.10 Normally, the Centre's administrative operations will be established within the academic, administrative and financial governance structures of the Administering Organisation, although the ARC may, under exceptional circumstances, approve the establishment of a separate legal entity if this is appropriate. The Centre may be located at a single site, or comprise networked nodes, or operate as a "virtual Centre", or adopt any other approach to research management, provided that it meets the objectives and selection criteria and is not contrary to the Funding Agreement.
- 1.6.11 Governance arrangements for the Centre must ensure fair access to resources for all eligible participants, make provision for entry and exit of Collaborating and Partner Organisations, and provide sound management of background and developed intellectual property. The ARC/NWC require that understandings or agreements reached between the Administering Organisation and the Collaborating and Partner Organisations for the operation of the Centre be formalised by written agreement(s), a copy of which must be provided to the ARC/NWC upon request. The matters which must be covered by these written agreements will be specified in the Funding Agreement between the ARC and the Administering Organisation.
- 1.6.12 The Centre must have an Advisory Board that provides broad representation from the research and end-user communities. The Board will offer advice to the Centre Director and the Administering Organisation and the Collaborating and Partner Organisations regarding the research focus of the Centre, its structure and general operating principles, and intellectual property and commercialisation management. The ARC and the NWC may each nominate an independent representative to sit on the Advisory Board

Naming the Centre

- 1.6.13 The ARC, in consultation with the NWC, will determine the name for the Centre on the advice of the Administering Organisation. Unless agreed otherwise by the ARC, the name of the Centre will be the "*ARC/NWC Co-funded Centre for Groundwater Research and Training*".

2 Funding

2.1 Level of funding

- 2.1.1 All amounts referred to in this Call are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- 2.1.2 Proposals will be received and considered by the ARC under the ARC's SRI Funding Rules. The key details relating to the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative are summarised at Appendix 2 of the SRI Funding Rules.
- 2.1.3 If successful, the proposed Centre may receive funding of up to \$6 million per year averaged over the five-year life of the project. The funding will be provided by ARC and NWC. The Centre is expected to seek additional financial contributions from a variety of sources such as publicly funded research institutes, and government and business entities.
- 2.1.4 The ARC and NWC reserve the right to recommend the level of funding allocated to a Proposal and may recommend funding at a level different from that requested by the Administering Organisation. Funding must be used only for purposes that are consistent with the SRI Funding Rules, this Call, and the Funding Agreement.
- 2.1.5 The ARC and NWC reserve the right to recommend to their respective Ministers that the proposed Centre not be funded if it is judged that Proposals are not of sufficient quality and/or do not meet the eligibility or accountability requirements or selection criteria.
- 2.1.6 Administering Organisations are strongly encouraged to maximise the impact of ARC/NWC funding by obtaining commitments for additional financial contributions from a variety of sources, including: State/Territory Governments/organisations, venture capital firms, business investors, and similar bodies. Australian and international industry partners and business investors may provide in-kind resources to the Centre, and will be expected also to make cash contributions.
- 2.1.7 Funding for the Centre will be directed through the Administering Organisation. If approved, the ARC's financial assistance to the Centre is subject to the appropriation of moneys and the approval of expenditures under the ARC Act. The NWC's financial assistance to the Centre is also subject to the appropriation of moneys. Approval of expenditures under the ARC Act can be considered only in relation to years for which there are relevant budgetary funding caps and splits in place as required by the ARC Act. The ARC will enter into a Funding Agreement with the Administering Organisation that will specify, among other things, the approved and indicative expenditures over the funding period.
- 2.1.8 If a Proposal is funded, the ARC and NWC will provide funding assistance for eligible direct costs of the Centre's research program. Direct costs include expenditure of salaries (and on-costs) of people who perform research (excluding Chief Investigators or Partner Investigators) or activities that support the research, stipends for research students, items of equipment used in the research and the costs of travel, visitors (other than Partner Investigators) and meetings related to the research. However, the ARC and NWC will not provide support, in whole or in part, for the full or partial salaries or salary loadings for the Centre Director and for researchers who have continuing positions with the Administering Organisation and/or the Collaborating Organisations and Partner Organisations. Organisations involved in the establishment and ongoing support of a Centre must have a strategic intent to establish scale and focus in the Centre's area of

research. Consequently, they must meet all indirect costs, and may provide additional cash or in-kind resources. Indirect costs include payments for appropriate office accommodation, libraries, laboratories, and equipment and other organisational overheads and infrastructure costs paid by the Administering Organisation and the Collaborating and Partner Organisations.

- 2.1.9 The Centre may undertake individual research projects with organisations that are not the Administering Organisation or founding Collaborating or Partner Organisations in the Centre, provided that arrangements are made to protect the rights of all parties concerned. The requirement to enter into these arrangements is dealt with in the Funding Agreement.

2.2 Period of funding

- 2.2.1 Funds for an *ARC/NWC Co-funded Centre for Groundwater Research and Training* may be awarded by the ARC/NWC for up to five years, subject to sufficient funding being available for the initiative, the provisions of the ARC and NWC Acts and continued satisfactory progress of the Centre. Funding is expected to begin in the 2008-09 financial year.
- 2.2.2 In the case of exceptional performance by the Centre and subject to the availability of funding, the ARC and the NWC may consider making a recommendation for extending financial assistance for the Centre for an additional period of up to five years.

2.3 Types of research supported

- 2.3.1 The *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative supports excellent collaborative research among 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. It provides the broad base of knowledge necessary to solve recognised practical problems; and
 - c. applied research which is original work undertaken primarily to acquire new knowledge with a specific application in view. 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.

2.4 Areas of investigation/work not supported

- 2.4.1 The *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative does not support the following work:
- a. projects such as uncritical compilations and purely descriptive catalogues or editions that do not involve original research;
 - b. production of teaching materials, even though some research may be involved in their production;
 - c. compilation of data, unless this an integral part of a Proposal, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute; and/or

- d. development of research aids and tools (including computer programs), unless they form an integral part of the Proposal, in which case the Proposal must include a statement indicating the research objectives to which these activities would contribute.

2.5 Restrictions on budget items

2.5.1 The *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative does not support the following budget items:

- a. **Capital works and general infrastructure**
Capital works and general infrastructure costs are not funded, in whole or in part.
- b. **Salaries of Chief Investigators (CIs) and Partner Investigators (PIs)**
The Commonwealth will not provide support, in whole or in part, to meet the salaries of CIs or PIs, under the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative. If a Proposal requests salary funding for a CI or PI, the Proposal will not be recommended or approved for funding.
- c. **Teaching and Teaching Relief**
Funding is not usually provided to fund teaching and/or teaching relief. Commonwealth funds may be used for teaching relief only if specifically approved for that purpose. If justified and approved, teaching relief may be funded for up to 6 months for each CI in each consecutive year. If approved, the funding contribution is limited to a maximum rate of \$65,944 per annum (2008\$) (or pro rata) per CI, and will be a Special Condition.
- d. **Special Studies Programs**
Funds are not provided for travel or related expenses for researchers when on a Special Studies Program. However, some specified expenses may be funded for CIs, if approved by the ARC as a Special Condition, and provided that the Proposal clearly demonstrates that such expenses are not covered by a Special Studies Program, and that the research to be undertaken directly relates to the Centre.
- e. **Research support for Partner Investigators**
Funds are not provided for PIs, apart from short-term project support for investigators visiting from overseas and funding for LIF Fellows. Short-term project support may include support for travel within Australia for investigators visiting from overseas but excludes the cost of their travel to and from Australia.
- f. **International students' fees, Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities**
Funds are not provided to pay the fees of international students or the HECS or the HELP liabilities for students.
- g. **Basic facilities**
The Administering Organisation must agree to provide the following basic facilities, (where relevant to the Proposal), which will not be funded by the ARC/NWC under the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative:
 - i. accommodation (e.g. laboratory and office, suitably equipped and furnished in standard ways);
 - ii. access to workshop services (e.g. machine tools and qualified technicians available to each member of staff, according to need, for research);
 - iii. access to a basic library collection;

- iv. standard reference materials or funds for abstracting services;
 - v. provision of computers, including laptops (excluding access to high-performance computers or other specialised applications) and basic computing facilities such as printers, word processing and other standard software; and
 - vi. use of photocopiers, telephones, mail, fax, email and internet services.
- h. **Publication costs**
Publication costs, including printing and page costs, will not be funded under the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative.
- i. **Costs not directly related to the Centre**
Costs not directly related to the Centre will not be funded.
- j. **Consultancies**
Investigations that are more appropriately undertaken by way of consultancy will not be funded, although researchers associated with the Centre may undertake consultancies.
- k. **Commercialisation activities**
Notwithstanding the fact that the ARC/NWC encourages the commercialisation of the outcomes of research it funds, the ARC/NWC does not fund directly the development of products or other commercialisation activities.

2.5.2 If the ARC considers that a Proposal seeks funding for a Centre that involves any of the items not permitted under Sections 2.4 or 2.5 of this Call, then to that extent part or all of the Proposal will not be recommended or approved for funding.

3 Number of Proposals

- 3.1.1 An Eligible Organisation may submit only one Proposal. A Proposal must identify at least one researcher as a Chief Investigator (CI). A person nominated as a CI must satisfy the eligibility criteria for that role as specified in Section 4.3 of this Call.
- 3.1.2 Subject to section 9 of the SRI Funding Rules and 4.6 of this Call, research funding received or sought elsewhere (outside the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative) has no impact on eligibility for funding within the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative. Nevertheless, all the time commitments (that is Centre-related work commitments and other commitments) of the participants named in an *ARC/NWC Co-funded Centre for Groundwater Research and Training* Proposal will be considered during the selection and assessment process.

4 Organisational and Investigator types, roles and eligibility

4.1 Eligible Organisations

- 4.1.1 A Proposal for an *ARC/NWC Co-funded Centre for Groundwater Research and Training* may be submitted only by an Eligible Organisation. Appendix 1 specifies Eligible Organisations for the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative.
- 4.1.2 If a Proposal is successful the proponent Eligible Organisation will become the Administering Organisation for the purposes of receiving and administering the funding.

4.2 Collaborating and Partner Organisations

- 4.2.1 In addition to the participation of the Administering Organisation, an *ARC/NWC Co-funded Centre for Groundwater Research and Training* Proposal may include participants from other Eligible Organisations (that is, Collaborating Organisations) and Partner Organisations (such as other Commonwealth and/or State agencies, private sector entities, and overseas organisations). Such participation is not required, but a Proposal will be strengthened by containing relevant industry or other organisation input.
- 4.2.2 Each Proposal must indicate agreed contributions from the Collaborating Organisation(s) and Partner Organisation(s), if any. Applicants determine, in collaboration with the Collaborating and Partner Organisation(s), which types of resources are appropriate and necessary for the project they wish to undertake. Contributions for the Collaborating and Partner Organisation(s) must be specific to the project and must not be part of a broader contribution to an Eligible Organisation.
- 4.2.3 The Proposal should include a detailed description of the collaborative arrangements proposed. Details of the nature of the collaboration should be presented in both descriptive terms and in figures. Proposals should make clear how each Collaborating and Partner Organisation is involved in the project, how the project fits into each Collaborating and Partner Organisation's overall strategic plan and how the project is of value to each of the Collaborating and Partner Organisations involved.
- 4.2.4 If the Proposal is approved for funding, any Collaborating and Partner Organisations will be expected to sign a written partner agreement with the Administering Organisation. The requirement to enter into these arrangements is dealt with in the Funding Agreement.

4.3 Investigator types, roles and eligibility

- 4.3.1 Roles that may be undertaken by researchers under the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative are:
- a. Chief Investigator (CI); or
 - b. Partner Investigator (PI).
- 4.3.2 A Proposal must nominate at least one CI.
- 4.3.3 All CIs and PIs nominated on a Proposal must satisfy the eligibility criteria for the role they are to perform, as specified in Section 4.3 of this Call.
- 4.3.4 The first-named researcher nominated as a CI on a Proposal will be considered the Interim Director of the Centre.
- 4.3.5 A researcher nominated as a CI or PI must take significant intellectual responsibility for the Centre's research program, any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment to the Centre and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.
- 4.3.6 At the time of the submission of a Proposal all obligations regarding previously funded ARC projects involving the nominated CIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory progress and final reports.

- 4.3.7 If the ARC considers that a researcher nominated in a Proposal as a CI or PI does not meet the eligibility criteria in this Section for the role which that researcher is to perform, the Proposal will not be recommended or approved for funding.

Chief Investigators

- 4.3.8 To be eligible to be a CI, a person must meet the criteria stipulated in subsections 4.3.8 to 4.3.12 for the duration of her/his participation in the Centre.
- 4.3.9 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at 1 July 2008, and for the full term of her/his participation in the Centre:
- a. be an employee of, and derive at least 50 per cent of her/his Earnings from, an Eligible Organisation for the relevant initiative (as listed in Appendix 1); or
 - b. be a holder of an Adjunct Appointment or equivalent, at an Eligible Organisation for the relevant initiative (as listed in Appendix 1) and not derive more than 50 per cent of her/his Earnings from organisations outside the higher education sector that are funded predominantly from State/Territory or Commonwealth Government sources if the Government funding for her/his organisation, or her/his part of the organisation, is provided mainly for research activities. Such organisations include, but are not limited to, Commonwealth-funded Research Centres which are outside the higher education sector, AIMS, ANSTO, CSIRO, DSTO, GA, and State/Territory Research and Development organisations and research areas within a Government entity; or
 - c. be a Federation Fellow.
- 4.3.10 He/she must reside predominantly in Australia for the full term of her/his participation in the Centre. If the person does not have permanent resident status he/she must obtain temporary or permanent resident status from the Department of Immigration and Citizenship before he/she may commence with the Centre.
- 4.3.11 Notwithstanding a researcher's eligibility under the criteria above or below in this Section, a researcher undertaking undergraduate or postgraduate studies is not eligible to be a CI, unless the researcher's undergraduate or postgraduate studies lie outside the scope and area of the research proposed in the Proposal.
- 4.3.12 If a Proposal has been approved for funding and any or all of the CIs are at any time during the Centre's operation no longer able to work as proposed on the Centre's research program, the research program may be continued under replacement CIs provided that:
- a. approval is obtained from the Minister or the ARC for the change in CI; and
 - b. a replacement CI meets the following criteria at the time he/she is nominated as a replacement and for the full term of her/his participation in the Centre:
 - i. he/she must take significant intellectual responsibility for the proposed Centre research program and any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment and contribution to the Centre and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others; and
 - ii. he/she must reside predominantly in Australia for the full term of her/his participation in the Centre; and

- iii. all obligations regarding previously funded projects involving the nominated replacement CI must have been fulfilled to the satisfaction of the ARC; and
- iv. he/she must be:
 - (a) an employee of, and derive at least 50 per cent of her/his Earnings from, an Eligible Organisation listed in Appendix 1; or
 - (b) be a holder of an Adjunct Appointment or equivalent, at an Eligible Organisation listed in Appendix 1 and not derive more than 50 per cent of her/his Earnings from organisations outside the higher education sector that are funded predominantly from State/Territory or Commonwealth Government sources if the Government funding for her/his organisation, or her/his part of the organisation, is provided mainly for research activities. Such organisations include, but are not limited to, Commonwealth-funded Research Centres which are outside the higher education sector, AIMS, ANSTO, CSIRO, DSTO, GA, and State/Territory Research and Development organisations and research areas within a Government entity; or
 - (c) a Federation Fellow.

Partner Investigators

4.3.13 To be eligible to be nominated as a PI on a Proposal, a researcher must:

- a. not meet the eligibility criteria specified above for a CI;
- b. secure a significant contribution of cash, in-kind or other resources from the researcher's organisation for the proposed Centre (having regard to the total cost of the Centre and the relative contributions of other investigators); and
- c. take significant intellectual responsibility as outlined in subsection 4.3.5.

4.3.14 If a Proposal has been approved for funding and any or all of the PIs are at any time during the Centre's operation no longer able to work as proposed on the Centre's research program, the research program may be continued under replacement PIs provided that:

- a. approval is obtained from the Minister or the ARC for the change in PI; and
- b. the replacement PI(s):
 - i. meet the eligibility criteria specified in subsections 4.3.13.b and 4.3.13.c at the time he/she is nominated as a replacement and for the full term of her/his participation in the Centre; and
 - ii. do not meet the eligibility criteria specified in subsection 4.3.12.b.iv for a replacement CI.

4.4 Appointment and responsibilities of the Director

4.4.1 If a Proposal is successful, a Director must be appointed to lead the Centre. The Director must satisfy the requirements for a CI as specified in Section 4.3 of this Call and is expected to work exclusively on the activities of the Centre. The Director and the principal researchers in the Centre will be in a unique position to develop and carry through an excellent program of research, attracting outstanding researchers from within Australia and from overseas.

- 4.4.2 The Director, in consultation with the Advisory Board, will be responsible for implementing the strategies of the Centre and managing the research program. The Director must coordinate the Centre's research effort and reporting structures across the Administering Organisation and the Collaborating and Partner Organisations and nodes involved in the Centre. The Director must also be responsible, in consultation with the Advisory Board, for managing the Centre's intellectual property in accordance with the policies of the Administering Organisation and with the *National Principles of Intellectual Property Management for Publicly Funded Research* (refer also to section 14.4 of the SRI Funding Rules).
- 4.4.3 It is expected that a Proposal for the Centre will have been generated under the leadership of the Interim Director. For some proposed Centres, the Director's role may be primarily one of research management and coordination, and the Director's track record will be judged accordingly. The Interim Director may become the Centre Director if the application is successful. A Centre Director may be appointed only with the approval of the ARC and NWC. Should the Interim Director not become the Director, or should the Director's position fall vacant, the ARC and NWC must approve the appointment of the new Director.

4.5 Associated Federation Fellows

- 4.5.1 ARC Federation Fellowships, which are prestigious awards awarded under the ARC's *Federation Fellowships* scheme, are designed to provide internationally competitive salaries that will support and encourage outstanding Australian and international researchers to work in Australia. Federation Fellows with expertise in the Centre's research area are likely to play a key role in establishing the Australian research agenda in these areas and may be in a position to support and promote the work of the Centre, mentor staff and students, and help build international links.
- 4.5.2 A Proposal should outline whether any Federation Fellows are to be involved in the Centre, but the involvement of Federation Fellows is not mandatory.
- 4.5.3 If a Federation Fellow is associated with the Centre, her/his salary must be met from the *Federation Fellowship* scheme funding, not from the ARC/NWC funding provided for the Centre. The "matching funding" which is required under the ARC *Federation Fellowship* scheme may *not* be met from Centre funding (ARC/NWC funding or other funding provided to the Centre by the Administering Organisation or Collaborating and Partner Organisations) or from resources put forward as a matching component in other applications for Commonwealth funding, including ARC Centres of Excellence.

4.6 Cross-scheme issues

Cross-scheme funding

- 4.6.1 The ARC/NWC 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, in consultation with the NWC, reserves the right to determine if a Proposal duplicates or is likely to duplicate research being funded by another Commonwealth sources. In such circumstances, the ARC may in its absolute discretion decide not to recommend the Proposal for approval. 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.

Cross-scheme eligibility

- 4.6.2 If the Administering Organisation or a researcher nominated as a CI or PI on a Proposal is involved in a funding request for any proposed research project (including fellowship), salary or equipment that has been submitted under any other ARC scheme or to any other Commonwealth funding body, the Proposal must contain details of the request(s). Summary details of all other funding must be included in the Proposal. Proposals must indicate the level of funding obtained for approved projects (including fellowships), or being sought for current or future projects (including fellowships), from all Commonwealth funding sources and must list all existing research funding from all Commonwealth sources. If these processes are not observed, or the ARC determines that incomplete, misleading or inaccurate details were included in the *ARC/NWC Co-funded Centre for Groundwater Research and Training* Proposal, the ARC may in its absolute discretion decide to not recommend the Centre Proposal for approval.
- 4.6.3 The ARC and/or NWC may liaise with other funding agencies to discuss any overlap between proposed or existing research projects in order to avoid duplication of funding. The ARC may for this purpose disclose to that agency any information in a Proposal.
- 4.6.4 The following rules will apply to funding provided by the ARC/NWC:
- a. Subject to any requirements or limitations specified under other ARC initiatives or funding schemes, ARC salary-related funding (including salary-related on-costs) associated with Fellowships awarded under other ARC initiatives or funding schemes, including *Federation Fellowships*, and any Fellowship component(s) of a *Discovery Projects* or a *Linkage Projects* project may, with the approval of the ARC, be retained. If a person is the recipient of salary-related funding from another ARC funding scheme, funding provided by the ARC/NWC for the Centre is not permitted to be used to meet the salary, in whole or part, for that person. However, the potential impact of the person's other research activities on the relevant researcher's time commitments to the Centre may be taken into account in assessing the Proposal;
 - b. ARC funding associated with an *ARC Centre* (see Definitions section), and projects funded under other ARC initiatives or funding schemes, including *Discovery Projects* and *Linkage Projects* (excluding the Fellowship funding outlined above) which is for research in an area that is considered by the ARC to duplicate, or could reasonably be expected to duplicate, research or activities within the research program of the Centre funded under this initiative may be required to be relinquished;
 - c. Subject to any requirements or limitations specified under other ARC initiatives or funding schemes, ARC funding associated with an *ARC Centres*, *Discovery Projects* projects, *Linkage Projects* projects and projects funded under other ARC initiatives or funding schemes which is for research in areas that would not be duplicated in the research program of the Centre funded under this initiative may be retained. However, the potential impact of the person's other research activities on the relevant researcher's time commitments to the Centre may be taken into account in assessing the Proposal.

Duplication with Commonwealth-funded Research Centres

- 4.6.5 Funding will not be provided for research already funded by a Commonwealth-funded Research Centre or which could reasonably be expected to be supported by the Centre given its research program and its level of funding. The proposed research must not

duplicate work that, in the opinion of the ARC or NWC, is, will be or could reasonably be expected to be, undertaken by a Commonwealth-funded Research Centre.

- 4.6.6 If a Proposal identifies a CI who is associated with a Commonwealth-funded Research Centre, and the person will continue to be associated with the Centre after 30 June 2008, the Proposal must include a letter from the Centre Director for that Centre which:
- a. describes the relationship between the proposed research and the research undertaken by that other Centre; and
 - b. explains how, and explicitly states that, the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by that other Centre; and
 - c. if Commonwealth funding is likely, or is due, to terminate during the 2009 calendar year, provides details regarding the future of that other Centre's research activities and the employment circumstances of the CI.
- 4.6.7 This letter should be no longer than one page.
- 4.6.8 The ARC, in consultation with the NWC, reserves the right to determine if a Proposal duplicates work funded or likely to be funded as part of a Commonwealth-funded Research Centre. In making a determination the ARC may have regard to, among other matters, the application, funding agreement, business plans, strategic plans and/or Annual Reports for that other Centre. If the ARC considers any information contained in the *ARC/NWC Co-funded Centre for Groundwater Research and Training Proposal*, the accompanying letter from the Centre Director for that other Centre and/or its Annual Report is incomplete, inaccurate, or misleading in a material respect, the ARC may in its absolute discretion decide not to recommend the Proposal for approval. If the ARC/NWC becomes aware of duplication of funding after a *ARC/NWC Co-funded Centre for Groundwater Research and Training Proposal* has been funded, the *ARC/NWC Co-funded Centre for Groundwater Research and Training* may be terminated and the Centre Director may be asked to show cause why any ARC funding for the Commonwealth-funded Research Centre should not be terminated.
- 4.6.9 For the purpose of subsection 4.6.6. of this Call, the term 'associated with' refers to those who contribute to the work of a Centre and whose contributions form part of the output of that Centre for annual reporting and evaluation purposes.
- 4.6.10 Notwithstanding the remainder of this section, the ARC reserves the right to determine which researchers are associated with a Commonwealth-funded Research Centre and also reserves the right to take into account the magnitude of in-kind contributions when making a determination as to whether a Proposal or a researcher is substantially associated with a Centre.

5 Application process

5.1 Proposals

- 5.1.1 Proposals must satisfy all the requirements set out in the SRI Funding Rules and this Call.
- 5.1.2 A Proposal should be submitted as a mature 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 or sources, unless

requested by the ARC or NWC or their Selection Advisory Committee.

5.1.3 All details in the Proposal must be current at the time of submission.

5.1.4 In submitting a Proposal, the Administering Organisation, and Collaborating and Partner Organisations if any, and the CIs and PIs nominated in the Proposal are consenting to the Proposal's being assessed under the ARC's peer assessment procedures and agreeing to the release of the Proposal to third parties for assessment purposes.

5.2 Certification

5.2.1 The Administering Organisation must obtain the agreement of all parties necessary to allow the proposed Centre to proceed. These agreements must be attested to by handwritten signatures and certifications from all relevant persons and organisations involved in the Proposal. These agreements, certifications and signatures are to be retained by the Administering Organisation which must provide them if requested by the ARC. A form is available for this purpose on the ARC's Web Site. If the Administering Organisation fails to provide this material upon request, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

5.2.2 A Proposal must be submitted through the appropriate Research Office of an Eligible Organisation. 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.

5.3 Submission of Proposals

5.3.1 Proposals must be submitted using the *SRI ARC/NWC Co-funded Centre for Groundwater Research and Training* Application Form which is available from the ARC and accessible via the ARC's Web Site.

5.3.2 Proposals for the *ARC/NWC Co-funded Centre for Groundwater Research and Training* consist of two parts:

- a. an electronic application form which must be completed using the template on the ARC's Web Site and submitted electronically via email to the ARC; and
- b. additional text (to be electronically scanned in PDF format and inserted into and submitted with the electronic application form):
 - i. Signed certification page(s); and
 - ii. where relevant, letters from the Centre Director(s) for any participants associated with a Commonwealth-funded Research Centre.

5.4 Format

5.4.1 All documents must be written in English and must comply strictly with the format, content and submission requirements as specified in the SRI Funding Rules and this Call. If the Proposal fails to meet any format, content or submission requirements, the ARC may in its absolute discretion decide not to recommend the Proposal for approval.

5.4.2 All pages of additional text should be in black type, use a single column and 12-point font size on white A4 paper, be printed on one side only and unbound, with at least 2 cm margins on each side. As Proposals may be scanned electronically, a highly legible font type must be used, such as Arial, Courier, Palatino, Times New Roman and Helvetica. Variants such as mathematical typesetting languages may also be used. References may

be reproduced in 10-point font size. Colour graphs or colour photographs may be included but they will be reproduced in black and white and the reproduction quality may not be optimal. Finely detailed graphics and grey scale may also not be precisely reproduced.

5.4.3 The pages of the Proposal must be numbered consecutively starting from page 1.

5.5 How to complete and submit a Proposal

5.5.1 Administering Organisations must use the template application form provided by the ARC on the ARC's Web Site.

5.5.2 Administering Organisations may have internal closing dates for Proposal preparation which precede ARC closing times.

5.5.3 Research Offices should submit completed Proposals via email to the ARC and forward a paper copy of the Proposal plus one copy which must, aside from the required signatures on the certification pages and additional text, identically match the contents of the submitted electronic application form. Proposals should be sent

by email to:

ncgp@arc.gov.au, marked to the attention of the Executive Director, *ARC Centres Scheme*

and by courier to:

Executive Director, *ARC Centres Scheme*
Australian Research Council
1st Floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

or, by mail to:

Executive Director, *ARC Centres Scheme*
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

5.6 Number of copies

5.6.1 In addition to the electronically submitted application form, the paper part of a Proposal must be submitted along with an identical paper copy. The paper parts must be clipped, not stapled. The paper parts of a Proposal must be submitted with the additional text, including supporting documentation, interleaved appropriately.

5.7 Closing time for Proposals

5.7.1 Subject to subsection 5.7.3, the paper parts of a Proposal must be received by the ARC, and the completed electronic form must be submitted, by **17:00 (AEST) Friday 30 May 2008**.

5.7.2 Proposals may be withdrawn but additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

5.7.3 If the paper parts of a Proposal are not received by the ARC by 17:00 (AEST) Friday 30 May 2008 the ARC may in its absolute discretion decide not to recommend the Proposal

for approval. In deciding to recommend or not recommend such a Proposal, the ARC may take into account whether:

- a. in the opinion of the ARC, exceptional circumstances apply; or
- b. the Administering Organisation is able to provide evidence to the satisfaction of the ARC that all the documents were despatched by the Administering Organisation sufficiently in advance of the closing time for the documents to have been delivered by the closing time in the normal course of events.

6 Selection and approval process

6.1 Selection criteria

6.1.1 All Proposals for an *ARC/NWC Co-funded Centre for Groundwater Research and Training* which meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:

- a. the nature and merit of the Proposal in relation to:
 - the objective of the SRI scheme, as specified in the SRI Funding Rules (that is, to support high-quality research which will assist in advancing Australia's research excellence to be globally competitive and deliver benefits to the community); and
 - the objectives specified in subsection 1.3 of this Call for the *ARC/NWC Co-funded Centre for Groundwater Research and Training* initiative,taking into consideration:
 - i. the goals of the Proposal;
 - ii. the method and approach proposed to be adopted;
 - iii. expected results; and
 - iv. value for money and budget justification, including where appropriate any cash or in-kind financial contributions to be made from non-ARC and non-NWC sources.
- b. the parties who are to be involved in and associated with the Centre, including their track record relative to opportunity and their capacity to undertake the proposed research program; and
- c. the relevance of the Proposal to issues of national significance and importance, including relevance to the NWI.

6.2 Assessment and selection procedure

6.2.1 Assessment of Proposals is undertaken by the ARC in accordance with Section 11.2 of the SRI Funding Rules.

6.2.2 The ARC may appoint a Selection Advisory Committee to assist it with the assessment of applications.

6.3 Exclusion of Proposals

6.3.1 In accordance with Section 11.2.2 of the SRI Funding Rules, the ARC may recommend exclusion of Proposals at any time during the selection process.

6.4 Assignment of assessors

- 6.4.1 In addition to assessment by the ARC and NWC, 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 the SRI Funding Rules and Section 6.1 of this Call and the reports by the assessors may include written comment.
- 6.4.2 The ARC reserves the right to make recommendations for funding to its Minister based on any number of assessments or solely on the assessment of the ARC and NWC.
- 6.4.3 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess the Proposal. The written justification must be submitted through the Administering Organisation's Research Office, in a separate letter, and it must not accompany the Proposal. The letter must be received by the ARC by the closing time for Proposals, **17:00 (AEST) Friday 30 May 2008**, and be sent:
- by courier to:
- Executive Director, *ARC Centres Scheme*
Australian Research Council
1st Floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609
- or, by mail to:
- Executive Director, *ARC Centres Scheme*
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601
- 6.4.4 The ARC and NWC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

6.5 Rejoinder

- 6.5.1 Assessors' written comments, if obtained, may be provided to allow the opportunity for a rejoinder to the comments. Names of assessors are not provided. At the same time, the ARC may add questions to the material sent for rejoinder. A period of up to 2 weeks is given to submit a rejoinder to the ARC. Subject to subsection 6.5.2, rejoinders will not be accepted after the nominated closing time for rejoinder submissions. The ARC may limit the permitted length of rejoinders which can be submitted.
- 6.5.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late rejoinders.

6.6 Interviews

- 6.6.1 The ARC, in consultation with the NWC, may short-list proposals and invite some applicants to attend interviews. Interviews may, at the discretion of the ARC and NWC, be held in Canberra, or in one of the Administering Organisations or the Collaborating and Partner Organisations, or at a place nominated by the ARC/NWC. The ARC and NWC will endeavour to provide as much notice as possible of an invitation to attend an interview, but may schedule interviews with as little as three working days' notice. The ARC and NWC will determine the structure of interviews and will not cover the costs

associated with participation in interviews.

6.7 Recommendations

- 6.7.1 The funding recommendations will be submitted in accordance with the ARC Act to the Minister for Innovation, Industry, Science and Research for approval; and the Minister for Climate Change and Water. The Ministers determine which Proposal will be approved and the amount and timing of financial assistance to be paid to the Administering Organisation for the approved Proposal.
- 6.7.2 Under the ARC Act, the Minister for Innovation, Industry, Science and Research must not approve for funding any Proposal that fails to meet the eligibility criteria set out in the SRI Funding Rules and this Call.

6.8 Offer of funding

- 6.8.1 The Administering Organisation whose Proposal is approved will be:
- a. notified in a letter of offer that will indicate the financial assistance to be offered; and
 - b. provided with a copy of the Funding Agreement for signing.

7 Appeals process

- 7.1.1 Section 12 of the SRI Funding Rules provides details of the appeals process.

8 Administration of funding and reports

- 8.1.1 Section 13 of the SRI Funding Rules provides details relating to the administration of funding and reporting requirements. Successful Administering Organisations should familiarise themselves with the standard Funding Agreement, which will be published on the ARC's Web Site. The Administering Organisation must accept and sign the Funding Agreement before payments can be made. The Funding Agreement will include agreed performance indicators.
- 8.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of funding. Administering Organisations should note that the Funding Agreement specifies conditions for management of Centre funding assistance, including reporting requirements and financial management.
- 8.1.3 If funded, there will be a full review of the performance of the Centre in or around the third year of its operation. This review will examine the extent to which the Centre has met its previously stated aims and objectives, or any such other aims and objectives as varied and approved by the ARC and NWC, the progress against the Centre's performance targets, the quality of outcomes to date, the management and governance of the Centre and the extent to which it has met its agreed performance indicators. Satisfactory progress in these areas is a condition for the Centre to continue to receive ARC/NWC funding.
- 8.1.4 Other Centre reviews may be held at any time, and particularly in special circumstances such as a change of Director. Persons undertaking reviews for the ARC/NWC are to be given full access to all accounts, records, documents and premises relevant to the research being funded by the ARC/NWC.

- 8.1.5 Applicants should be aware of provisions of Part 8 of the *Financial Management and Accountability Act 1997*, which provide the Auditor General or an authorised person with the right to have, at all reasonable times, access to information, documents and records.

9 Other matters

9.1 Applicable law

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

9.2 Confidentiality

- 9.2.1 The ARC/NWC will treat information contained in a Proposal as confidential. However, the ARC/NWC may disclose information contained in a Proposal, or otherwise provided to the ARC/NWC, to the extent that the information:
- a. is disclosed by the ARC or NWC to their 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 personnel of the ARC or NWC to enable effective management or auditing of the Centre or any funding agreement;
 - c. is disclosed by the ARC or NWC to their Ministers;
 - d. is shared by the ARC or NWC within their respective organisations, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
 - e. is authorised or required by law to be disclosed;
 - f. is disclosed in accordance with any other provision of the SRI Funding Rules, this Call or the Funding Agreement;
 - g. is in the public domain otherwise than due to a breach by the ARC or NWC of any obligation of confidence; or
 - h. is not disclosed to any ARC or NWC advisor, assessor, officer, or any third party who has a conflict of interest, real or apparent.
- 9.2.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC and NWC will require the third parties to maintain the confidentiality of the material. Notwithstanding the above, and in addition to the exemptions listed at subsection 9.2.1, the ARC or NWC may publicise and report offers or awards of funding, including information about the proposed research or activity; the name of nominated CIs and PIs and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the Centre; the title and summary descriptions of the Centre 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 and NWC. Administering Organisations should ensure that information contained in the Centre title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

9.3 Project description

- 9.3.1 In making public information about a Proposal which has been approved for funding, the

ARC and NWC may use a project description, including title and summary, which may differ from that provided in the Proposal.

9.4 Intellectual property

- 9.4.1 The ARC and NWC do not claim ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a Centre funded under this Call.
- 9.4.2 However, all Proposals become the property of the ARC on submission. Administering Organisations submit their Proposals on the basis that the ARC and NWC 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 or NWC;
 - c. the preparation and management of any funding agreement; or
 - d. the administration or management of the NCGP or the NWC's funding program.
- 9.4.3 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 and NWC to deal with that information in accordance with the SRI Funding Rules and this Call, prior to the Administering Organisation's submitting its Proposal.
- 9.4.4 Except with written approval from the ARC and NWC, all Proposals and the *ARC/NWC Co-funded Centre for Groundwater Research and Training* must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC's Web Site) and accord with any intellectual property policies of the organisations involved in the Centre.

9.5 Incomplete or misleading information

- 9.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 9.5.2 If the ARC or NWC consider that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide not to recommend the Proposal for approval.
- 9.5.3 If an Administering Organisation and/or researcher nominated in a Proposal as a CI or PI has provided the ARC or NWC with incomplete, unsatisfactory, inaccurate or misleading information in relation to any Proposal for, or in the provision of advice relating to, or reporting of progress of, a project funded by the Commonwealth, the ARC may in its absolute discretion decide not to 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.
- 9.5.4 If the ARC/NWC considers that omissions, or inclusion of misleading information, are intentional, or if there is evidence of misconduct, the ARC or NWC 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.
- 9.5.5 Examples of misleading information and misconduct are, but are not restricted to:

- a. providing fictitious track records;
- b. making claims in publications records (such as describing a paper as accepted for publication when it has only been submitted); or
- c. failing to disclose to the ARC and NWC the existence, and nature, of actual or potential conflicts of interest of any of the parties involved in the Proposal/Centre (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Centre).

9.6 Insurance and liabilities

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

Appendix 1: Eligible 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

Charles Darwin University
Batchelor Institute of Indigenous Tertiary Education

Australian Capital Territory

The Australian National University
University of Canberra

Multi-State

Australian Catholic University

Appendix 2: National Water Initiative

Overview

The National Water Initiative (NWI) is Australia's blueprint for national water reform, representing a shared commitment of the Australian Government and state and territory governments in recognition of:

- the continuing national imperative to increase the productivity and efficiency of Australia's water use;
- the need to service rural and urban communities; and
- ensuring the health of river and groundwater systems, including by establishing clear pathways to return all systems to environmentally sustainable levels of extraction.

The National Water Initiative involves:

- a commitment to identifying over-allocated water systems, and restoring those systems to sustainable levels
- the expansion of the trade in water resulting in more profitable use of water and more cost-effective and flexible recovery of water to achieve environmental outcomes
- more confidence for water industry investors: more secure water access entitlements, better registry arrangements, monitoring, reporting and accounting of water use, and improved public access to information
- more sophisticated, transparent and comprehensive water planning , and
- better and more efficient management of water in urban environments.

Objectives

The overall objective of the NWI is to achieve a nationally compatible market, regulatory and planning based system of managing surface and groundwater resources for rural and urban use that optimises economic, social and environmental outcomes. At the highest level, implementation of the NWI will achieve:

- clear and nationally-compatible characteristics for secure *water access entitlements*;
- transparent, statutory-based water planning;
- statutory provision for *environmental and other public benefit outcomes*, and improved environmental management practices;
- complete the return of all currently over-allocated or overused systems to *environmentally-sustainable levels of extraction*;
- progressive removal of barriers to trade in water and facilitate an open trading market;
- clarity around the assignment of risk arising from future changes in the availability of water for the *consumptive pool*;
- water accounting to meet the information needs of different water systems in respect to planning, monitoring, trading, environmental management and on-farm management;
- policy settings which facilitate water use efficiency and innovation in urban and rural areas;
- future adjustment issues that may impact on water users and communities; and
- recognition of the connectivity between surface and groundwater resources and connected systems managed as a single resource.

The NWI agreement includes objectives, outcomes and agreed actions to be undertaken by governments across eight inter-related elements of water management:

Water access entitlements and planning framework

Restore surface and groundwater systems to environmentally sustainable levels. Water sharing plans will help to bring certainty for consumers, and allow them greater scope to plan agricultural and other activities.

Water markets and trading

Removal of institutional barriers to trade in water. Water trading systems will have the widest possible geographic scope, and will not be restricted to within catchment areas.

Best practice water pricing

Water pricing and institutional arrangements will promote economically efficient and sustainable use of water resources, water infrastructure assets, and government resources; ensure sufficient revenue streams to allow efficient delivery of services; facilitate the efficient functioning of water markets; give effect to the principles of consumption-based pricing and full cost recovery; and provide appropriate mechanisms for the release of unallocated water.

Integrated management of water for environmental and other public benefit outcomes

Identify the environmental and other public benefit outcomes sought for water systems and to develop and implement management practices and institutional arrangements that will achieve those outcomes.

Water resource accounting

Ensure that measurement, monitoring and reporting systems are in place, to support public and investor confidence in the amount of water being traded, extracted for consumptive use, and recovered and managed for environmental and other public benefit outcomes.

Urban water reform

Ensure healthy, safe and reliable water supplies; increase water use efficiency in domestic and commercial settings; encourage the re-use and recycling of wastewater; facilitate water trading between and within the urban and rural sectors; encourage innovation in water supply sourcing, treatment, storage and discharge; and achieve improved pricing for metropolitan water.

Knowledge and capacity building

Identify knowledge and capacity building needs for its ongoing implementation, and identify and implement proposals to more effectively coordinate the national water knowledge effort.

Community partnerships and adjustment

Engage water users and other stakeholders in achieving the objectives of the Initiative by improving certainty and building confidence in the reform processes; transparency in decision making; and ensuring sound information is available to all sectors at key decision points. New and improved measuring, monitoring, reporting and accounting procedures will be introduced, with improved public access to information.