



**Australian Government**  

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**Australian Research Council**

***Linkage Projects***

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**Funding Rules for Funding Commencing in  
2007**

**Australian Research Council**  
***Linkage Projects***  
**Funding Rules for Funding commencing in 2007**

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## Acronyms

The following acronyms are used in ARC Funding Rules.

|       |   |
|-------|---|
| AEST  | Australian Eastern Standard Time                                    |
| AEDT  | Australian Eastern Daylight Saving (Summer) Time                    |
| AIF   | Australia-Israel Fellowship   |
| AIMS  | Australian Institute of Marine Science                              |
| ANSTO | Australian Nuclear Science and Technology Organisation              |
| APA   | Australian Postgraduate Award                                       |
| APAI  | Australian Postgraduate Award (Industry)                            |
| APD   | Australian Postdoctoral Fellowship                                  |
| APDC  | Australian Postdoctoral Fellowship (CSIRO)                          |
| 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>Centre 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   |
| GA    | Geoscience Australia  |
| GAMS  | Grant Application Management System                                 |
| GST   | Goods and Services Tax  |
| HECS  | Higher Education Contribution Scheme                                |
| ICI   | Internationally Coordinated Initiative                              |
| IRF   | Indigenous Research Fellowship                                      |
| LASP  | ARC <i>Learned Academies Special Projects</i>                       |
| LIEF  | ARC <i>Linkage Infrastructure Equipment and Facilities</i>          |
| LIF   | ARC Linkage Industry Fellowship                                     |
| LP    | ARC <i>Linkage Projects</i>   |
| NCGP  | National Competitive Grants Program                                 |
| NHMRC | National Health and Medical Research Council                        |
| NP    | Network Participant   |
| OI    | Overseas Investigator   |
| PI    | Partner Investigator  |
| QEII  | Queen Elizabeth II Fellowship                                       |
| RN    | ARC <i>Research Network</i>   |
| SPIRT | <i>Strategic Partnerships with Industry – Research and Training</i> |
| SRC   | ARC <i>Special Research Centre</i>                                  |
| SRI   | ARC <i>Special Research Initiatives</i>                             |
| URL   | Universal Resource Locator  |

## Key Dates

Closing time for eligibility and exemption requests, Round 1 (Section 7.1) 5.00 pm AEDT Friday 24 March 2006

**Closing time for submission of Proposals in Round 1 (subsection 7.4.5) 5.00 pm AEST Friday 5 May 2006**

Closing time for eligibility and exemption requests, Round 2 (Section 7.1) 5.00 pm AEST Friday 13 October 2006

**Closing time for submission of Proposals in Round 2 (subsection 7.4.5) 5.00 pm AEDT Friday 24 November 2006**

## Contacts

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

Enquiries about the ARC *Linkage Projects* scheme may be addressed to:

| Postal  | or | Courier   |
|---|----|---|
| <i>Linkage Projects</i> Coordinator<br>Australian Research Council<br>GPO Box 2702<br>CANBERRA ACT 2601   |    | <i>Linkage Projects</i> Coordinator<br>Australian Research Council<br>1 <sup>st</sup> Floor, 8 Brindabella Circuit<br>CANBERRA AIRPORT ACT 2609 |
| Email: <a href="mailto:ncgp@arc.gov.au">ncgp@arc.gov.au</a><br>Phone: 02 6287 6600<br>Fax: 02 6287 6638<br>Web: <a href="http://www.arc.gov.au">http://www.arc.gov.au</a> |    |   |

## **Definitions for *Linkage Projects* Funding Rules**

**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, honorary, or visiting fellow or professor. It would be expected that the person's association would be listed in an official organisational publication and/or web site.

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

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

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

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

**ARC Fellowship** means a position held by a researcher where the salary is funded wholly or partly by the ARC and where the researcher has been nominated in a Proposal to hold a Fellowship. An ARC Fellowship may be awarded at a number of levels and in various ARC schemes. ARC Fellowship includes Australian Postdoctoral Fellowship (APD), Australian Postdoctoral Fellowship (Industry) (APDI), Australian Postdoctoral Fellowship (CSIRO) (APDC), Australian Research Fellowship (ARF), Queen Elizabeth II Fellowship (QEII), and Australian Professorial Fellowship (APF).

**Australian Postdoctoral Fellow** means a researcher whose salary is wholly or partly funded under an ARC Australian Postdoctoral Fellowship.

**Australian Postdoctoral Fellow (CSIRO)** means a researcher whose salary is wholly or partly funded under an ARC Australian Postdoctoral Fellowship CSIRO.

**Australian Postdoctoral Fellow (Industry)** means a researcher whose salary is wholly or partly funded under an ARC Australian Postdoctoral Fellowship (Industry).

**Australian Professorial Fellow** means a researcher whose salary is wholly or partly funded under an ARC Australian Professorial Fellowship.

**Australian Research Fellow** means a researcher whose salary is wholly or partly funded under an ARC Australian Research Fellowship.

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

**Chief Investigator (CI)** means a researcher nominated in a Proposal who satisfies the eligibility criteria for a CI as specified in Section 5.3.

**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.

**Eligible Organisation** means an organisation which is eligible to apply for and receive funding under the *Linkage Projects* Funding Rules as specified in Section 4.1.

**Federation Fellow** means a researcher whose salary is wholly or partly funded under the ARC *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 this document.

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

**National Research Priority** means a national research priority referred to in Section 1.2 and further detailed in Appendix 6.

**Partner Investigator (PI)** means a researcher nominated in a Proposal who satisfies the eligibility criteria for a PI as specified in Section 5.4.

**Partner Organisation** means an organisation which is not an Eligible Organisation, and which is identified in a Proposal as a contributor to the project, and which meets the requirements specified in Section 4.2 (and Appendix 2).

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

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

**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.

**Australian Research Council**  
***Linkage Projects***  
**Funding Rules for Funding Commencing in 2007**

## **1 Introduction**

### **1.1 Overview**

- 1.1.1 This document sets out the funding rules for *Linkage Projects*, a scheme funded under the Australian Research Council's National Competitive Grants Program (NCGP), which comply with the requirements of the ARC Act.
- 1.1.2 All parties involved in Proposals should read and understand the Funding Rules and the ARC's standard Funding Agreement (which is available at <http://www.arc.gov.au>) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.
- 1.1.3 These Funding Rules are current as at December 2005 and have been prepared in accordance with the requirements of the ARC Act in force at that time. These Funding Rules are subject to change at any time, for reasons including any subsequent amendment, replacement or supplementation of the ARC Act.
- 1.1.4 Funding under *Linkage Projects* is provided to Administering Organisations, not to researchers. That is, the ARC will accept a Proposal only from an Eligible Organisation and not from any individual researcher or researchers.
- 1.1.5 However, if, in the opinion of the ARC, any researcher nominated in a Proposal as a CI, PI or APDI Fellow has caused or has significantly contributed to the failure of an organisation to meet its obligations under any current or previous funding agreement with the ARC, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that researcher.

### **1.2 NCGP Objectives**

- 1.2.1 The ARC is an Australian Government statutory authority established under the ARC Act. The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer funding to support research programs, and to provide policy advice related to research.
- 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 web site at <http://www.arc.gov.au>.
- 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 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 6, and on the ARC web site (<http://www.arc.gov.au>). Assessment of the degree to which a proposed project would contribute to National Research Priorities and Priority Goals may be used as part of the selection process in NCGP schemes.

### **1.3 *Linkage Projects***

1.3.1 *Linkage Projects* supports research and development projects which are collaborative between higher education researchers and other parts of the national innovation system, which are undertaken to acquire new knowledge, and which involve risk or innovation.

1.3.2 The objectives of *Linkage Projects* are to:

- a. encourage and develop long-term strategic research alliances between higher education organisations and other organisations, including within industry, in order to apply advanced knowledge to problems and/or to provide opportunities to obtain national economic, social or cultural benefits;
- b. support collaborative research on issues of benefit to regional and rural communities;
- c. enhance the scale and focus of research in National Research Priorities (Appendix 6);
- d. foster opportunities for postdoctoral researchers to pursue internationally competitive research in collaboration with organisations outside the higher education sector, targeting those who have demonstrated a clear commitment to high-quality research;
- e. provide outcome-oriented research training to prepare high-calibre postgraduate research students; and
- f. produce a national pool of world-class researchers to meet the needs of the broader Australian innovation system.

## **1.4 Fundamental principles and requirements**

### **1.4.1 Ethics and Research Practices**

1.4.1.1 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-funded research projects should conform to the principles outlined in the following and their successor documents:

- a. the Joint NHMRC/AVCC *Statement and Guidelines on Research Practice* (1997);
- b. as applicable, the NHMRC's *National Statement on Ethical Conduct in Research Involving Humans*; and
- c. as applicable, the NHMRC's other codes on animal research.

#### **1.4.2 Non-duplication**

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

#### **1.4.3 Conflict of Interest**

- 1.4.3.1 All parties involved in or associated with Proposals and ARC-funded research projects are required to disclose to the ARC affiliations with or financial involvement in any organisation which has, or is likely to have, a direct interest in the subject matter or outputs of the project. Such parties are required to disclose at the time of submission of Proposals, or reporting on ARC-funded research projects, any conflict of interest which has the potential to influence, or appear to influence, their research and activities, publications and media reports, or requests for funding.

#### **1.4.4 Acknowledging ARC support**

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

## **2 Changes from last year**

- 2.1.1 A number of clarifications and revisions have been made in these Funding Rules for funding commencing in 2007 (the 2007 *Linkage Projects Funding Rules*). Significant changes from the 2006 *Linkage Projects Funding Rules* include:
  - a. A Definitions section has been added to the 2007 *Linkage Projects Funding Rules* (pages 7 - 8).

- b. The term ‘Collaborating Organisation’ has been replaced by the term ‘Partner Organisation’ throughout these Funding Rules to enhance consistency across ARC schemes. This is a terminology change only and does not affect eligibility, but there have in addition been other minor changes to eligibility requirements for Partner Organisations – see below.
  - c. For the purpose of enforcing limits on Proposals and projects, involvement by researchers in Proposals and ongoing projects in 2007 is evaluated at the closing date (subsection 3.8.1).
  - d. The employment requirement for CIs now applies from the nominal funding commencement date (1 January 2007 for Round 1, or 1 July 2007 for Round 2) (subsection 5.3.1).
  - e. A new item is listed under the selection criterion ‘Approach and Training’ (subsection 8.1.1) – ‘how appropriate is the proposed budget?’.
  - f. Any organisation which in the ARC’s opinion is associated with a higher education organisation and which provides undergraduate and/or postgraduate training as a substantial part of its activities is now excluded from eligibility as a Partner Organisation (Appendix 2).
  - g. Entities, such as joint ventures, where a majority of the membership is made up of, or ownership and/or control is exercised by, other ineligible organisations or their representatives are now excluded from eligibility as a Partner Organisation (Appendix 2).
  - h. Cash and in-kind contribution rates for APAI stipends have been increased from \$5,000 cash plus \$5,000 cash/in-kind to \$6,000 cash plus \$6,000 cash/in-kind (Appendix 2).
  - i. The information in Appendix 2 regarding contributions by Partner Organisations has been re-worded for greater clarity (Appendix 2).
- 2.1.2 The list of changes above is not comprehensive – a number of minor formatting, style and other changes have also been made. Applicants and other parties involved in Proposals should read and understand the entire Funding Rules and draft Funding Agreement before a Proposal is submitted to the ARC.

## **3 Funding**

### **3.1 Rounds**

- 3.1.1 Funding under *Linkage Projects* will be made available in rounds. Applicants are able to apply in the first round by 5 May 2006 for funding to commence in January 2007 (Round 1), or in the second round by 24 November 2006 for funding to commence in July 2007 (Round 2). Prior to commencement of a round the ARC will advise the opening date for lodgment of applications. The ARC will allocate funds between the two rounds as it thinks necessary and appropriate, taking into account the total funds available for *Linkage Projects*, and the demand for funding and the quality of Proposals received in each round.

### **3.2 Level of funding**

- 3.2.1 All amounts referred to in these Funding Rules are to be read as exclusive of Goods and Services Tax (if any), unless expressly stated otherwise.

- 3.2.2 The minimum level of funding which will be provided by the ARC for a project is \$20,000 per annum. Applicants must make a request of at least \$20,000 per year.
- 3.2.3 Generally, the maximum level of ARC funding for a project is \$500,000 per annum. In exceptional circumstances, the ARC is prepared to consider higher funding levels, where an outstanding case is made, and where there is clear evidence of a very high level of commitment by, and very significant cash contributions from, the Partner Organisation(s).
- 3.2.4 In any case, the amount of funding sought in a *Linkage Projects* Proposal will depend on the Applicant's capacity to obtain the required contribution from their Partner Organisation(s), as described in Appendix 2.
- 3.2.5 If an APDI is requested, the Proposal should include a request for the Fellowship salary and on-costs in the budget. APDIs are awarded at levels outlined in Appendix 4.
- 3.2.6 The ARC reserves the right to recommend the levels of funding allocated to a project at levels which may differ from that requested in the Proposal.

### **3.3 Duration of funding**

- 3.3.1 Funding for projects may be awarded for 1 to 5 years, subject to sufficient funding being available for *Linkage Projects*, and the provisions of the ARC Act.
- 3.3.2 APDIs are awarded for a standard duration of three years. The ARC may award an APDI with a duration of less than three years where the Proposal provides reasons, to the satisfaction of the ARC, why an award of the APDI for a period of less than three years is justified. (Further details about the tenure of APDIs are provided in Appendix 4.)
- 3.3.3 APAI stipends are awarded for a maximum period of three years with provision under certain conditions for an additional six months' support from the Commonwealth for PhD students. Where a Proposal seeks APAI funding for less than the three-year maximum, including for a Master's degree, any award of a stipend will be only for the period sought without the opportunity to extend.
- 3.3.4 In all cases, the ARC may recommend funding for a project for a duration different from that requested in the Proposal.

### **3.4 Types of research supported**

- 3.4.1 Subject to Section 3.5, *Linkage Projects* supports all types of research, including:
  - a. pure basic research which is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge;
  - b. strategic basic research which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. Such research provides the broad base of knowledge necessary to solve recognised practical problems; and
  - c. applied research which is original work undertaken primarily to acquire new knowledge with a specific application in view. Such research is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

3.4.2 The following project costs may be supported under *Linkage Projects*:

- a. personnel (salaries and on-costs), including:
  - i. research associates, technicians, laboratory attendants, and so on;
  - ii. Australian Postgraduate Awards (Industry) (APAI) for postgraduate research students studying towards a Masters or PhD award (see Appendix 3 for APAI entitlements);
  - iii. Australian Postdoctoral Fellowships (Industry) (APDI) for researchers with less than three years' postdoctoral experience (see Appendix 4 for entitlements); and
  - iv. Linkage Industry Fellowships (LIFs) - support for costs associated with short-term transfers for CIs or some PIs between Eligible Organisations and Partner Organisations, where, in the opinion of the ARC, an outstanding case is made (Section 3.7);but excluding those items detailed in subsection 3.6.2b and e.
- b. teaching relief for Chief Investigators, but only where the request is justified to the satisfaction of the ARC (see subsection 3.6.2c );
- c. equipment;
- d. maintenance; and
- e. travel.

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

3.5.1 *Linkage Projects* does not support:

- a. clinical medical and dental research and training. These areas of research are generally covered by other Commonwealth Government funding agencies, such as the NHMRC;
- b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, designs and literary works. These areas are generally covered by other Commonwealth Government agencies, such as the Australia Council for the Arts;
- c. scholarly investigations that, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Projects such as uncritical bibliographical compilations and purely descriptive catalogues or editions that do not involve original research are not funded;
- d. projects where, in the ARC's opinion, one or more Partner Organisations is seeking expert external assistance, not available within their own organisation, in order to develop specific applications involving little innovation or low risk, which the ARC deems to be contracted research or consultancies;
- e. projects that, in the opinion of the ARC, do not significantly enhance links with organisations outside the publicly funded research and higher education sectors;
- f. production of teaching materials, even though some research may be involved in their production;

- g. compilation of data, unless this is an integral part of a project, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute; and/or
  - h. 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.
- 3.5.2 If the ARC considers that a Proposal seeks funding for a project that involves any of the items listed in subsection 3.5.1, then to that extent part or all of the Proposal will not be recommended or approved for funding. However, if the ARC considers other parts of the proposed project remain worthy of support, the ARC may recommend that a reduced amount of funding be approved for the Proposal.

### **3.6 Restrictions on budget items**

- 3.6.1 *Linkage Projects* supports only costs which directly support a research project. The ARC may in its absolute discretion determine whether any project costs meet this requirement.
- 3.6.2 *Linkage Projects* has restrictions on the following budget items:
- a. Capital works and general infrastructure**  
Capital works and general infrastructure costs are not funded in whole or part under *Linkage Projects*. In addition, they must not be included in the required matching contributions made by Partner Organisations.
  - b. Salaries of Chief Investigators (CIs) and Partner Investigators (PIs)**  
Apart from the possibility of support for costs associated with a LIF (Section 3.7), the Commonwealth will not provide support in whole or in part to meet the salaries of CIs or PIs under *Linkage Projects*.
  - c. Teaching**  
Commonwealth funds may be used for teaching relief only if specifically approved for that purpose. *Linkage Projects* funding is not provided to fund teaching. However, the ARC may consider a request for teaching relief, for a period of not more than six months per calendar year, if such a request is fully justified in terms of achieving a successful outcome for the project. If approved, the funding contribution is limited up to a maximum amount of not more than \$32,294 for 6 months per calendar year, regardless of the level of appointment of the staff member, and is a Special Condition.
  - d. Special Studies Programs**  
Funds are not provided for travel or related expenses for researchers when on a Special Studies Program. Some specified costs may be supported within a *Linkage Projects* project 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 project. In these cases the use of funds needs to be approved as a Special Condition.
  - e. Research support for Partner Investigators**  
Funds are not provided for Partner Investigators, apart from short-term project support for investigators visiting from overseas.

**f. International students' fees and Higher Education Contribution Scheme (HECS) liability**

Funds are not provided to pay the fees of international students or HECS liabilities for Australian students.

**g. Computer facilities for molecular analysis**

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

**h. Basic facilities**

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

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

**i. Publication Costs**

Publication costs, including page costs, will not be funded under *Linkage Projects*.

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

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

### **3.7 Linkage Industry Fellowships (LIFs)**

3.7.1 *Linkage Projects* offers the opportunity to request a LIF, which provides support for costs involved in a temporary transfer of a researcher from one of the Eligible Organisations listed on a Proposal to one of the Partner Organisations listed on that Proposal, or vice versa.

3.7.2 A LIF may be funded only for a single period of between 3 and 12 months during the duration of the proposed project, for an amount up to a maximum of \$100,000. A Proposal may not request more than one LIF. Only a limited number of LIFs will be made available, where, in the opinion of the ARC, an outstanding case is made for the Fellowship. Only funds specifically approved for a LIF via a Special Condition may be used for that purpose.

- 3.7.3 To request a LIF, a Proposal must:
- a. identify the proposed Linkage Industry Fellow, who must be:
    - i. an eligible Chief Investigator on the Proposal, or
    - ii. an eligible Partner Investigator on the Proposal who is an employee of, and derives more than 50% of her/his salary from, one of the Partner Organisations on the Proposal;
  - b. identify the amount of support requested for the Fellowship (not more than \$100,000) and the proposed duration and timing of the Fellowship (between 3 and 12 months), and detail how the support requested will be used;
  - c. describe and justify the nature of the temporary transfer, which, except in exceptional circumstances, must include a single, continuous physical transfer of the Fellow for the duration of the Fellowship from one of the Eligible Organisations listed on the Proposal to one of the Partner Organisations listed on the Proposal, or vice versa. The ARC is prepared to be flexible in considering a range of transfer arrangements, as best benefits the proposed project and circumstances of the parties involved; and
  - d. make a strong case for the Fellowship in terms of the benefits to the project, and the contribution towards the objectives of *Linkage Projects*.
- 3.7.4 The right to make a recommendation on the level of support for, and duration of, a LIF rests with the ARC. The ARC may recommend a level and duration which differ from those requested.
- 3.7.5 The *Linkage Projects Instructions to Applicants for Funding Commencing in 2007* provides more detailed information on how to request a LIF within a *Linkage Projects Proposal*.

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

### **3.8.1 General Requirements**

- 3.8.1.1 Proposals may be submitted only to the extent that, if all were successful, the researchers nominated on those Proposals would not be involved in more than the maximum number of projects permitted in 2007 (subsection 3.8.1.2). For the purpose of applying these limits, the number of ongoing research projects which are to be funded for 2007, and the number of Proposals on which a researcher is nominated are evaluated as at the closing time for the submission of Proposals for the relevant round, regardless of any subsequent change in, or withdrawal of, Proposals. Submitting Proposals that exceed this limit may result in all Proposals involving the relevant researcher(s) not being recommended or approved for funding.

### 3.8.1.2 Specific limits on the number of projects funded in 2007

| Limit type                          | Limit description   |
|-------------------------------------|---|
| a. CI/Fellow limit                  | CIs and APDI Fellows may participate in up to four concurrent <i>Linkage Projects</i> projects which have funding for project costs and/or APDIs (these four may or may not also include APAI funding). CIs may also participate in up to four concurrent <i>Linkage Projects</i> projects which have funding only for APAIs. |
| b. PI limit                         | There is no limit on the number of concurrent projects for PIs.   |
| c. APDI limit for further Proposals | Except in the final year of her/his Fellowship, an APDI Fellow may be involved in a further Proposal under <i>Linkage Projects</i> only if the proposed project is, in the opinion of the ARC, closely associated with her/his existing Fellowship project.   |

3.8.1.3 For the purposes of these Funding Rules, a project for which funding was/is to be carried over, or deferred, into the next year is considered to be funded for the years for which it was recommended for funding. For example, if a project was originally funded for three years and funding is subsequently carried over to a fourth year, this project will still be considered for these purposes as funded for the original three years.

### 3.8.2 Duplication

- 3.8.2.1 Various components underpinning a project are to be included in a single *Linkage Projects* Proposal. For example, separate Proposals cannot be submitted seeking project funding for APDIs and APAIs for essentially the same project. If the ARC considers that separate Proposals are submitted in the same funding round seeking funding for separate components for essentially the same project the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 3.8.2.2 Only one Proposal may be submitted to *Linkage Projects* in respect of a particular project in the same funding round, regardless of any variation in the listed researchers and/or Administering Organisation. If the ARC considers that the project described in a Proposal is the same or similar (in whole or in part) to a project described in another Proposal that is submitted in the same funding round, the ARC may in its absolute discretion decide to not recommend for approval any or all of those Proposals, or recommend that a reduced amount of funding be provided for that or any similar Proposal. The ARC reserves the right to determine whether Proposals are duplicates or sufficiently similar to warrant one or more Proposals' being not recommended for approval.
- 3.8.2.3 A *Linkage Projects* Proposal may not be submitted if it is essentially the same as a Proposal submitted in the previous *Linkage Projects* round. If the ARC considers that a Proposal in a round is for essentially the same project as a Proposal submitted in the previous round, the ARC may in its absolute discretion decide to not recommend the later Proposal for approval. However, if a *Linkage Projects* Proposal was not funded in a previous round because the ARC considered it as ineligible for

funding because it did not meet the eligibility criteria or accountability requirements in a particular round, a similar Proposal which meets the eligibility and accountability requirements may be submitted in the immediately following round.

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

### **4.1 Eligible Organisations**

- 4.1.1 A Proposal may be submitted only by an Eligible Organisation. Appendix 1 specifies Eligible Organisations for *Linkage Projects*.
- 4.1.2 More than one Eligible Organisation may be involved in a single Proposal – such organisations are generally identified by virtue of the organisational affiliations of the Chief Investigators listed on the Proposal. However, each Proposal must specify a single Eligible Organisation (the Administering Organisation) which submits the Proposal and which will receive and administer ARC financial assistance if the Proposal is successful.

### **4.2 Partner Organisations**

- 4.2.1 Each Proposal must identify at least one Partner Organisation which satisfies the requirements in Appendix 2 and which will be involved in the proposed project. Interaction with a Partner Organisation is required for the whole period of the project.
- 4.2.2 Information about the eligibility of Partner Organisations is set out in Appendix 2, together with information about their required contributions and possible tax incentives.
- 4.2.3 Each Proposal must indicate agreed contributions from a Partner Organisation, and these contributions must meet the requirements specified in Appendix 2. Applicants determine, in collaboration with the Partner Organisation(s), which type of resources are appropriate and necessary for the project they wish to undertake. Contributions from the Partner Organisation(s) must be specific to the project and must not be part of a broader contribution to an Eligible Organisation.
- 4.2.4 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 Partner Organisation is involved in the project, how the project fits into each Partner Organisation's overall strategic plan and how the project is of value to each of the Partner Organisations involved.
- 4.2.5 The Proposal must include a letter of support (of no more than two A4 pages) from each Partner Organisation on its letterhead, including a brief profile of the Partner Organisation and details of the cash and in-kind support that will be provided.
- 4.2.6 Each Partner Organisation must certify at Part F of the Proposal:
  - a. that no part of its cash contribution is drawn from funds previously appropriated from government sources for the purposes of research, evaluation and/or consultancy activity; and
  - b. that the Partner Organisation has read and understood the requirements in the draft Funding Agreement about Partner Organisation agreements, including the requirement to enter into arrangements regarding intellectual property.

- 4.2.7 Proposals which fail to meet any of the requirements specified in Section 4.2 will not be recommended or approved for funding.

## **5 Roles and eligibility for researchers**

### **5.1 Researcher roles and general eligibility**

- 5.1.1 Roles that may be undertaken by researchers under *Linkage Projects* are:
- a. Chief Investigator (CI);
  - b. Partner Investigator (PI); or
  - c. Australian Postdoctoral Fellow (Industry).
- 5.1.2 A Proposal must nominate at least one researcher as a CI or APDI Fellow. A nominated CI or APDI Fellow must satisfy the eligibility criteria for that role as specified in Section 5 of these Funding Rules.
- 5.1.3 The first-named CI or APDI Fellow on a Proposal will be considered the ‘Project Leader’ of the project.
- 5.1.4 If a *Linkage Projects* Proposal seeks support for an APAI stipend, the Proposal must identify at least one CI as supervisor for the student.
- 5.1.5 A researcher nominated in a Proposal as a CI, PI or APDI Fellow must take significant intellectual responsibility for the proposed project, its conception, and any strategic decisions called for in its pursuit and the communication of results. The researcher must have the capacity to make a serious commitment to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. The ARC reserves the right to determine whether a person has the requisite capacity to perform the role.
- 5.1.6 If the ARC considers that a researcher nominated in the Proposal as a CI, PI or APDI Fellow does not meet the eligibility criteria in this Section or Sections 5.3, 5.4 or 5.5 for the role which that researcher is to perform, the Proposal will not be recommended or approved for funding.

### **5.2 Early Career Researchers**

- 5.2.1 The ‘Early Career Researcher’ category applies in the *ARC Discovery Projects* scheme. It is not used in these Funding Rules.

### **5.3 Eligibility criteria for Chief Investigators**

- 5.3.1 To be eligible to be a CI, a person must meet the following criteria by 1 January 2007 for Round 1, or by 1 July 2007 for Round 2, and for the full term of the funding:
- a. He/she must reside predominantly in Australia. If the person does not have permanent resident status he/she must obtain temporary or permanent resident status from the Department of Immigration and Multicultural and Indigenous Affairs;
  - b. He/she must meet one of the following two criteria:
    - i. be an employee of, and derive at least 50% of her/his salary from, an Eligible Organisation (as listed in Appendix 1); or

- ii. be a holder of an Adjunct Appointment or equivalent at an Eligible Organisation (as listed in Appendix 1) who does not have a substantive position or paid appointment elsewhere;
- c. Her/his involvement in the proposed project must not generate or represent a significant conflict of interest. At a minimum, this means that a researcher:
  - i. must not have any direct or indirect financial interest in any of the proposed Partner Organisations for the project; and
  - ii. must not hold a position of Director, Board member, or other paid or unpaid senior management or advisory position in any of the proposed Partner Organisations for the project.

Exemptions may be obtained where the ARC considers that any financial interests or positions held by the Chief Investigator are such as would not be likely to affect, or be reasonably perceived to affect, the decisions and/or actions of the Chief Investigator in carrying out his/her responsibilities towards the project (subsection 5.6.4);

- d. He/she must not receive any salary from ARC funding for the project (subject to Section 3.7 concerning Linkage Industry Fellows).

5.3.2 Notwithstanding their eligibility under the criteria above, researchers in the following categories are not eligible to be CIs:

- a. an undergraduate student; or
- b. a postgraduate student (unless eligible to be a CI because of employment but only for research which lies outside the scope of the postgraduate studies).

5.3.3 At the time of submission of a Proposal all obligations under any past or current funding agreement entered into with the ARC regarding previously funded projects involving the nominated CIs and APDI Fellows on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory progress and final reports.

## **5.4 Eligibility criteria for Partner Investigators**

5.4.1 To be eligible as a Partner Investigator, a researcher must:

- a. not meet the eligibility criteria for a CI;
- b. be employed by, and derive more than 50 per cent of her/his salary from, an organisation other than those Eligible Organisations listed at Appendix 1;
- c. secure an appropriate contribution of time and operating costs from her/his organisation for the proposed project;
- d. not receive funding from the ARC for the project, unless approved as a Linkage Industry Fellow (see Section 3.7); and
- e. take significant intellectual responsibility as outlined in subsection 5.1.5.

5.4.2 A Partner Investigator may act as a supervisor for an APAI in conjunction with a Chief Investigator who is also involved in the proposed project.

5.4.3 Partner Investigator and Chief Investigator roles are mutually exclusive. An individual cannot be identified as having both roles on Proposals in the same round.

## **5.5 Eligibility criteria for APDI Fellows**

- 5.5.1 APDI candidates must satisfy the criteria for CIs at subsections 5.3.1a and 5.3.1c above. They must also:
- a. have no more than three years' postdoctoral equivalent research experience, and have been awarded a PhD not more than three years before the closing time for the relevant round or have not yet submitted a PhD but will do so within six months after the closing time in the relevant round (in which case the Fellowship cannot commence until the PhD has been awarded - if the PhD is not submitted within six months of the closing time for the relevant round any offer of funding for a project involving the APDI Fellow will be withdrawn);
  - b. not have previously held any other ARC Fellowship; and
  - c. make a full-time commitment to the project.
- 5.5.2 The ARC regards an APDI as a prestigious award. If the ARC considers the proposed APDI Fellow to be critical to the success of the project and if the proposed APDI Fellow cannot take up the Fellowship, the entire project may be terminated.
- 5.5.3 Further information on entitlements for APDIs is set out in Appendix 4.

## **5.6 Requests for exemptions**

- 5.6.1 If one or more of the following eligibility exemptions is required, a request must be lodged according to the process described in Section 7.1.
- 5.6.2 APDI Career interruption**
- 5.6.2.1 In some circumstances, an APDI candidate may not satisfy all the required eligibility criteria due to research career interruption. Research career interruptions could include, for example, non-research employment, misadventure, or carer responsibilities. If this is the case, a request may be made which seeks an exemption from the relevant eligibility criteria.
- 5.6.3 APDI PhD**
- 5.6.3.1 Normally, a prerequisite for an APDI is that the candidate is a researcher with a recent PhD (as described in Section 5.5 above). Researchers who do not have a PhD or equivalent research doctorate must submit a request for eligibility exemption which provides evidence that their research is equivalent to a PhD, and that they have no more than three years postdoctoral equivalent research experience.
- 5.6.4 Interests of Chief Investigators and APDI Fellows**
- 5.6.4.1 A researcher intending to become a Chief Investigator or APDI Fellow may request an exemption from the requirement not to have any direct or indirect financial interest in, or position with, any of the proposed Partner Organisation(s) for the project. Such exemptions may be given if the ARC determines that the researcher's financial interest, or position held, is not such as to affect, or be reasonably perceived to affect, the decisions and/or actions of the researcher in carrying out her/his responsibilities towards the project.
- 5.6.4.2 In these cases, a request for exemption may be lodged, together with a statement detailing a researcher's financial interests or positions held, and justifying her/his claim of special circumstances for an eligibility exemption.

## **6 Cross-scheme issues**

### **6.1 Cross-scheme funding**

6.1.1 The ARC will not duplicate financial assistance for research already funded by the Commonwealth. The ARC reserves the right to determine if a Proposal duplicates or is likely to duplicate research being funded by another Commonwealth source. In such circumstances the ARC may in its absolute discretion decide to not recommend the Proposal for approval. However, if the ARC considers 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.

### **6.2 Cross-scheme eligibility**

6.2.1 If a funding request for any proposed research project, salary or equipment has been or is being submitted to another ARC scheme or to any other Commonwealth funding body, each Proposal must be cross-referenced and summary details of all other funding requests must be included in the Proposal. Proposals must indicate the level of funding obtained, or being sought, from all other Commonwealth funding sources and must list all existing research funding from all Commonwealth sources. If these processes are not observed or the ARC determines that incomplete, misleading or inaccurate details were included in the Proposal, the ARC may in its absolute discretion decide to not recommend the *Linkage Projects* Proposal for approval.

6.2.2 If any researcher is concurrently the subject of multiple Fellowship requests, whether these are in one or more ARC schemes, the Proposals must be cross-referenced. If more than one of these Fellowship requests is approved for funding, only one Fellowship can be accepted.

6.2.3 The ARC may liaise with other funding agencies to discuss any overlap between proposed or existing research projects in order to avoid duplication of funding. The ARC may for this purpose disclose to that agency any information in a Proposal.

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

#### **6.3.1 Duplication with Commonwealth-funded Research Centres**

6.3.1.1 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 outlined in a Proposal must not duplicate work that is or will be undertaken by a Commonwealth-funded Research Centre.

#### Letter showing association between the Proposal and a Commonwealth-funded Research Centre

6.3.1.2 If a Proposal nominates a CI or Fellowship candidate who is substantially associated (subsection 6.3.2 below) with a Commonwealth-funded Research Centre, the Proposal must include a letter from the Centre Director which describes the relationship between the proposed research outlined in the Proposal and the research undertaken by the Centre, and states that “the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded

by the Centre”. This letter should be no longer than one page. If such a letter is not provided in the Proposal, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

- 6.3.1.3 The ARC reserves the right to determine if a proposed project 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, amongst other matters, the Centre application, Centre funding agreement, business plans, strategic plans and/or Annual Reports. If the ARC considers any information contained in the *Linkage Projects* Proposal, the accompanying letter from the Centre Director and/or the Centre Annual Report is inaccurate, incomplete, or misleading in a material respect, the ARC may in its absolute discretion decide to not recommend the Proposal for approval. If, however, the ARC considers that parts of the proposed project remain worthy of support, the ARC may assess the Proposal in the usual way and instead recommend that reduced funding be approved for the Proposal. If the ARC becomes aware of duplication of funding after a project has been funded the project 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.

### **6.3.2 Substantial association**

- 6.3.2.1 The persons nominated as the Centre Director and Deputy Directors in the initial Centre application or their successors, and researchers who receive more than 30% of their salary from a Commonwealth-funded Research Centre, are considered to be “substantially associated” with the Centre.
- 6.3.2.2 Notwithstanding subsection 6.3.2.1, the ARC reserves the right to determine whether researchers are substantially associated with a Commonwealth-funded Research Centre and also reserves the right to take into account the magnitude of in-kind contributions when deciding whether a researcher is substantially associated with a Centre (see subsection 8.1.1).

## **6.4 Funding of clinical medical and dental research**

- 6.4.1 The ARC does not fund clinical medical and dental research and training under *Linkage Projects*. If the ARC determines that a proposed project would fall within this area of research, the Proposal will not be recommended or approved for funding. In some instances, it may not be clear whether or not the project described in a Proposal would fall within this area of research. In these cases, an eligibility ruling may be submitted by forwarding a summary of not more than two pages, outlining the proposed research, according to the process described in Section 7.1.
- 6.4.2 In all cases, whether or not the above process is observed, the ARC reserves the right to decide whether a proposed project falls within the area of clinical medical and/or dental research and training. If the ARC considers that a Proposal falls within this area of research the Proposal will not be recommended or approved for funding.

## **7 Application process**

### **7.1 Eligibility rulings**

- 7.1.1 These Funding Rules describe a number of situations where it is possible to submit eligibility or exemption requests and seek a ruling from the ARC. All such requests must be submitted on the ARC Eligibility Ruling Request form via the Research Office of the intended Administering Organisation, and received by the ARC by close of business on the following dates:
- |  |                               |
|--|-------------------------------|
| For requests regarding Proposals in Round 1: | <b>Friday 24 March 2006</b>   |
| For requests regarding Proposals in Round 2: | <b>Friday 13 October 2006</b> |
- 7.1.2 The ARC may, in its absolute discretion, extend closing times for these eligibility ruling requests, but is under no obligation to accept any request lodged after this date.
- 7.1.3 Such requests must include the supporting information required in each of the situations where rulings can be sought, as described elsewhere in this document. The Research Office will be advised of the outcome of any such request as soon as possible to allow time for a detailed Proposal to be completed if appropriate. If a ruling is given, the ARC will provide an identifying number for the ruling which must be quoted on any associated Proposal which is submitted to the ARC.
- 7.1.4 Where the circumstances of a Proposal are such that an eligibility exemption or ruling is required but the above process has not been followed or the above deadlines are not met, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 7.1.5 The ARC Eligibility Ruling Request form is available on the ARC web site at <http://www.arc.gov.au>.

### **7.2 Proposals**

- 7.2.1 A Proposal should be submitted as a mature research plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC or its College of Experts.
- 7.2.2 All details in the Proposal must be current at the time of submission.
- 7.2.3 All parties involved in a Proposal are required to consent to the Proposal's being assessed under the ARC peer assessment procedures and to the release of the Proposal to third parties for assessment purposes.

### **7.3 Certification**

- 7.3.1 The Administering Organisation must obtain signatures of all parties named at Part B and Part F of the Proposal. These 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 web site (<http://www.arc.gov.au>).
- 7.3.2 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.

## **7.4 Submission of Proposals**

7.4.1 Proposals under *Linkage Projects* consist of two parts:

- a. On-line form which must be completed and submitted in the ARC on-line grants application management system accessible via the ARC web site at <http://www.arc.gov.au>; and
- b. Additional text which must be submitted as part of the paper version of the Proposal:
  - i. Descriptions of research record relative to opportunities in Part B;
  - ii. Justifications of ARC and Partner Organisation budgets in Part C;
  - iii. Reports on other ARC-funded projects in Part D;
  - iv. Project description in Part E;
  - v. Certification by and letters of support from Partner Organisations in Part F;
  - vi. Other letters as required (from Centre Directors, for example).

### **7.4.2 Format**

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

7.4.2.2 All pages of additional text should be in black type, use a single column and 12-point font size on white A4 paper, be printed on one side only and unbound, with at least 2 cm margins on each side. As Proposals are scanned electronically, a highly legible font type must be used, such as Arial, Courier, Palatino, Times New Roman 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 be degraded. Finely detailed graphics and greyscale may also not be precisely reproduced.

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

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

7.4.3.1 Administering Organisations must use the form within the ARC's on-line grants application management system accessible via the ARC web site (<http://www.arc.gov.au>).

7.4.3.2 A separate document *Linkage Projects Instructions to Applicants for Funding Commencing in 2007* will be available from <http://www.arc.gov.au> to assist in preparing Proposals.

7.4.3.3 Administering Organisations may have internal closing dates for Proposal preparation which precede ARC closing dates. Researchers should comply with the various requirements of their relevant Administering Organisations.

7.4.3.4 Research Offices have access to the ARC on-line grants application management system and will allocate UserIDs and passwords to enable researchers at their

organisations to access the system and prepare Proposals. If a researcher has previously been allocated access, her/his UserID and password should still be current. If researchers do not have a Research Office or equivalent unit, they should email [gamsids@arc.gov.au](mailto:gamsids@arc.gov.au) at the ARC for assistance.

- 7.4.3.5 Research Offices should submit forms in the ARC's on-line grants application management system and forward the Proposal and a copy which must, as far as possible, identically match the contents of the submitted on-line application form. Proposals should be sent:

|                                     |    |  |
|-------------------------------------|----|--|
| By mail to:                         | or | by courier to:                               |
| <i>Linkage Projects</i> Coordinator |    | <i>Linkage Projects</i> Coordinator          |
| Australian Research Council         |    | Australian Research Council                  |
| GPO Box 2702                        |    | 1 <sup>st</sup> Floor, 8 Brindabella Circuit |
| CANBERRA ACT 2601                   |    | CANBERRA AIRPORT ACT 2609                    |

#### **7.4.4 Number of copies**

- 7.4.4.1 In addition to the on-line form, a paper version of the Proposal must be submitted in duplicate (one original and one identical copy). The paper version must be clipped, not stapled. The paper version of the Proposal must be submitted with the additional text, including supporting documentation, interleaved appropriately (see *Linkage Projects Instructions to Applicants for Funding Commencing in 2007*).

#### **7.4.5 Closing times and dates for Proposals**

- 7.4.5.1 The paper versions of the Proposal must be received by the ARC, and the on-line form completed using the ARC's on-line grants application management system must be submitted to the ARC, by the following times:

- for Proposals in Round 1: **5.00 pm AEST Friday 5 May 2006**
- for Proposals in Round 2: **5.00 pm AEDT Friday 24 November 2006**

- 7.4.5.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late Proposals.

- 7.4.5.3 Proposals may be withdrawn but may not be changed after submission. Additions, deletions and modifications will not be accepted after submission, unless invited by and at the sole discretion of the ARC.

## **8 Selection and approval process**

### **8.1 Selection criteria**

- 8.1.1 All *Linkage Projects* Proposals which meet the eligibility criteria will be assessed and merit ranked using the following criteria:

#### **Investigator(s)**

- Track record (20%)
  - Track record relative to opportunities and/or suitability to supervise postgraduate students (as appropriate)
  - Capacity to undertake the proposed research

## **Proposed project content**

- Significance and innovation (25%)
  - does the research address an important problem?
  - how will the anticipated outcomes advance the knowledge base of the discipline?
  - is the research principally focussed upon a topic or outcome that falls within one of the National Research Priorities and associated Priority Goals, and if so how does it address the National Research Priorities and Priority Goals?
  - are the project aims and concepts novel and innovative?
  - will new methods or technologies be developed?
- Approach and Training (20%)
  - are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the project?
  - if the project involves an APAI, is the project suitable for research training?
  - where relevant, is the intellectual content and scale of the work proposed appropriate to a research higher degree?
  - how appropriate is the proposed budget?
- National benefit (10%)
  - what is the potential of the research project to result in economic and/or social benefits for Australia from the expected results and outcomes of the project?
  - what is the potential for the research to contribute to National Research Priorities?
- Commitment from Partner Organisation(s) (25%)
  - is there evidence that each of the Partner Organisations is genuinely committed to, and prepared to collaborate in, the research project?

### **8.1.2 APDI(s)**

8.1.2.1 Assessment of fellowship requests is based on the excellence of the candidate's track record relative to opportunity as well as the excellence of the proposed project. A Proposal containing a Fellowship request must provide details of the contribution of the proposed Fellow to the project and the research environment of her/his proposed host organisation.

### **8.1.3 Projects that are of benefit to a rural or regional community**

8.1.3.1 Subject to the ARC receiving in a funding round an adequate number of requests of the requisite type and of sufficient quality, the ARC will allocate at least 20 per cent of available *Linkage Projects* funding to support collaborative research projects addressing on issues of benefit to rural or regional communities. *Linkage Projects* Proposals will be considered with regard to the nature of the research and to evidence of collaboration between the researcher(s) and the community. This could, for example, take any of the following forms:

- a. the Partner Organisation is located, and/or operating, in a rural or regional community;

- b. a rural or regional community is involved in identifying the problem or issue to be addressed;
  - c. a rural or regional community is involved in conducting the research;
  - d. there is evidence of an existing relationship between the researchers and the rural or regional community; and/or
  - e. researchers with a strong track record in conducting research of benefit to rural or regional communities are involved.
- 8.1.3.2 Proposals with a demonstrated benefit to a rural or regional community and which are not supported under this funding will still be assessed for funding under the remaining *Linkage Projects* allocation.

#### **8.1.4 APAI in the fields of information technology and communications**

- 8.1.4.1 In 2007, the ARC will, subject to an adequate number of requests of the requisite type and of sufficient quality being received, allocate at least 50 APAI places in the field of information technology and communications in addition to other APAI funding.
- 8.1.4.2 Where a *Linkage Projects* Proposal contains a request for an APAI that is clearly demonstrated as being primarily within the area of information technology and communications, the ARC will initially assess the APAI request for funding within these 50 APAI places. Requests for APAIs not supported under these 50 places will still be assessed for funding against all other *Linkage Projects* Proposals.

## **8.2 Assessment and selection procedure**

### **8.2.1 Assessment and selection process**

- 8.2.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make decisions and recommendations solely on the basis of its expertise, and which may:
- a. determine if a Proposal satisfies the eligibility criteria set out in these Funding Rules;
  - b. identify and determine any other matters that these Funding Rules state may result in the ARC's not recommending a Proposal for approval;
  - c. assign assessors to review Proposals;
  - d. seek comments on assessors' reports from the parties involved in the Proposal;
  - e. rank each Proposal relative to the others on the basis of the Proposal, any assessors' reports, and any response to those assessment reports;
  - f. assess and recommend the amount of funding to be made available for a Proposal; and/or
  - g. prepare funding recommendations for the Minister as required by the ARC Act.
- 8.2.1.2 The ARC College of Experts assists with the assessment of Proposals. The ARC has procedures for managing organisational and personal conflicts of interest experienced by members of the College of Experts, members of other ARC committees, ARC members, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.

## 8.2.2 Exclusion of Proposals

- 8.2.2.1 The ARC will not recommend for approval, and the Minister will not approve for funding, any Proposal that fails to satisfy the “eligibility criteria” set out in these Funding Rules, including:
- a. if the Proposal was not submitted by an Eligible Organisation (Section 4.1);
  - b. if the Proposal does not meet the requirements for involvement by or contributions from Partner Organisations (Section 4.2 and Appendix 2);
  - c. if the Proposal does not nominate at least one researcher as a CI or APDI Fellow (subsection 5.1.2);
  - d. if the ARC considers that a researcher nominated in the Proposal as CI, PI or APDI Fellow does not meet the eligibility criteria as specified in Section 5.1 or Sections 5.3, 5.4 or 5.5 for the role which that researcher is to perform (subsection 5.1.6), subject to Section 5.6;
  - e. if the ARC determines that a proposed project would fall within the area of clinical medical and dental research and training (Section 6.4); and/or
  - f. if a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification (subsection 7.3.2).
- 8.2.2.2 The ARC may in its absolute discretion decide not to recommend for approval a Proposal if:
- a. in the opinion of the ARC, any researcher nominated in the Proposal as a CI, PI or APDI Fellow has caused or has significantly contributed to the failure of an organisation to meet its obligations under any current or previous funding agreement with the ARC (subsection 1.1.5);
  - b. the limits on the number of Proposals and projects permissible are exceeded (subsection 3.8.1.1);
  - c. the ARC considers that a Proposal in a funding round is for essentially the same project as a Proposal submitted in the previous *Linkage Projects* round (subsection 3.8.2.3);
  - d. the ARC considers that the project described in the Proposal is the same as or similar (in whole or in part) to a project described in another Proposal that is submitted in the same funding round (subsection 3.8.2.2);
  - e. the ARC considers that separate Proposals are submitted in the same funding round seeking project funding for separate components for essentially the same project (subsection 3.8.2.1);
  - f. where required the Proposal does not include a letter from a Centre Director; (subsection 6.3.1.2);
  - g. in the opinion of the ARC, a Proposal duplicates or is likely to duplicate research already being funded by the Commonwealth (subsection 6.1.1);
  - h. where required the Proposal does not include details of other funding or funding requests (subsection 6.2.1);
  - i. the ARC considers inaccurate, false, or misleading material has been provided in relation to the Proposal or if the Administering Organisation and/or researchers nominated in the Proposal as a CI, PI or APDI Fellow

have provided the ARC with incomplete, false or misleading information in relation to the reporting of progress of a funded project (subsections 6.2.1, 6.3.1.3 and 11.5.2);

- j. the Proposal is submitted after the closing time for the relevant round (subsection 7.4.5);
- k. the circumstances of a Proposal are such that an eligibility exemption or ruling is required but the required process has not been followed or the deadlines are not met (subsection 7.1.4); and/or
- l. the Proposal fails to meet any format and other submission requirements (Section 7.4).

### **8.2.3 Assessment**

8.2.3.1 The ARC may assess Proposals in different ways depending on the level and nature of support sought in the Proposal. In addition to assessment by the ARC, a Proposal may at the ARC's absolute discretion be assessed by external assessors. Assessors may be drawn from a range of organisations to reduce the potential for conflicts of interest. Proposals will be assessed against the selection criteria set out in these Funding Rules.

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

8.2.3.3 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal. Detailed written justification must be submitted through the Administering Organisation's Research Office in a separate letter which must not accompany the Proposal. The letter must be received by the ARC by the closing time for submission of Proposals for the relevant round, and be sent to:

*Linkage Projects* Coordinator  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

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

### **8.2.4 Rejoinder**

8.2.4.1 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 at least 7 business days is given to submit a rejoinder to the ARC. Rejoinders will not be accepted after the nominated closing time for rejoinder submissions. The ARC may limit the length of rejoinders which can be submitted. Rejoinders must be submitted through the ARC's on-line grants application management system.

### **8.2.5 Recommendations**

8.2.5.1 The ARC's recommendations will be submitted in accordance with the ARC Act to the Minister for Education, Science and Training (the Minister) for consideration. The Minister determines which Proposals will be approved and the amount and

timing of financial assistance to be paid to Administering Organisations for approved projects.

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

### **8.3 Offer of funding**

- 8.3.1 An Administering Organisation which has Proposal(s) approved will be:
- a. notified in a letter of offer that will indicate the financial assistance to be offered; and
  - b. provided with a draft Funding Agreement for signing.

## **9 Appeals process**

- 9.1.1 Appeals will be considered only against administrative process issues and not, for example, against committee recommendations or assessor ratings and comments.
- 9.1.2 Appeals must be made on the appeals form available on the ARC web site (<http://www.arc.gov.au>). The form must be lodged by the Administering Organisation and must be authorised by a Deputy Vice Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received by the ARC **within 28 days** of the date on the letter notifying the outcome of Proposals.
- 9.1.3 Appeals should be addressed to:

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

## **10 Administration of funding**

### **10.1 Funding Agreement**

- 10.1.1 All parties involved in a Proposal should familiarise themselves with the draft Funding Agreement, but only the Administering Organisation and the ARC will be parties to this agreement. All parties involved in a funded project must accept the terms of the Funding Agreement and the Administering Organisation must sign the Funding Agreement before the ARC will commence payments.
- 10.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of the Funding Agreement.
- 10.1.3 Administering Organisations should note that the Funding Agreement covers the post-award management, including reporting requirements and financial management. The draft Funding Agreement can be viewed on the ARC web site (<http://www.arc.gov.au>).

#### **10.1.4 Varying the Funding Agreement**

- 10.1.4.1 Requests to vary the Funding Agreement must be forwarded in writing by the Administering Organisation's Research Office, to the ARC. Forms are available on

the ARC web site (<http://www.arc.gov.au>). Amendment of any clauses of the draft Funding Agreement will be at the ARC's absolute discretion.

### **10.1.5 Varying the Funding Approval**

10.1.5.1 Requests to vary the Funding Approval must be forwarded in writing by the Administering Organisation's Research Office to the ARC.

10.1.5.2 The Funding Approval may be varied by varying the amount of financial assistance, the duration of financial assistance, the name of the person leading the research project, and/or the name of the organisation receiving financial assistance.

10.1.5.3 The Minister may vary the Funding Approval where:

- a. any of the organisations involved in the project end, or substantially change, their involvement with the project;
- b. the research project changes so that it is no longer consistent with the description in the Funding Approval;
- c. the person nominated in the Funding Approval as the person leading the project ceases to lead the project; or
- d. the ARC considers and recommends that the particular circumstances of the project warrant variation of the Funding Approval, providing such variation is reasonably justified upon the facts of the case and any variation or change to the project accords with the *Linkage Projects* objectives.

### **10.1.6 Reports**

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

## **11 Other matters**

### **11.1 Applicable law**

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

### **11.2 Confidentiality**

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

- a. is disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
- b. is disclosed to the ARC's personnel to enable effective management or auditing of *Linkage Projects* or any Funding Agreement;
- c. is disclosed by the ARC to the Minister;

- d. is shared by the ARC within the ARC's organisation, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
  - e. is authorised or required by law to be disclosed;
  - f. is disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
  - g. is in the public domain otherwise than due to a breach by the ARC of any obligation of confidence.
- 11.2.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.
- 11.2.3 Notwithstanding the above, and in addition to the exemptions listed at subsection 11.2.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of nominated CIs, PIs or APDI 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).

### **11.3 Project Descriptions**

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

### **11.4 Intellectual Property**

- 11.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a project funded under *Linkage Projects*.
- 11.4.2 However, all Proposals become the property of the ARC on submission. Administering Organisations submit their Proposals on the basis that the ARC may copy, modify and otherwise deal with information contained in a Proposal (and allow any external assessor or other third party to do the same) for any purpose related to:
- a. the evaluation and assessment of Proposals;
  - b. verifying the accuracy, consistency and adequacy of information contained in a Proposal, or otherwise provided to the ARC;
  - c. the preparation and management of any Funding Agreement; or
  - d. the administration or management of the NCGP.
- 11.4.3 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 to deal with that information in accordance with these Funding Rules, prior to the Administering Organisation's submitting its Proposal.

- 11.4.4 Except with written approval from the ARC, all Proposals and ARC-funded research projects must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available at <http://www.arc.gov.au>) and accord with any intellectual property policies of the researchers' organisations.

## **11.5 Incomplete or misleading information**

- 11.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 11.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to not recommend the Proposal for approval. If an Administering Organisation and/or researcher nominated in a Proposal as a CI, PI or APDI Fellow provides the ARC with incomplete, inaccurate or misleading information in relation to either the Proposal for, or when reporting on progress of, a project the ARC may in its absolute discretion decide to not recommend the Proposal for approval or terminate the project if funded and require the Administering Organisation to repay some or all of the funding.
- 11.5.3 If the ARC considers that omissions, or inclusion of misleading information, are intentional, or if there is evidence of malpractice, the ARC may refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.
- 11.5.4 Examples of malpractice include, but are not restricted to:
- a. providing fictitious track records; or
  - b. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted).

## **11.6 Insurance and liabilities**

- 11.6.1 Administering Organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement. The draft Funding Agreement can be viewed on the ARC web site (<http://www.arc.gov.au>).

## **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  
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**

Australian Maritime College  
University of Tasmania

### **Northern Territory**

Charles Darwin University

Batchelor Institute of Indigenous Tertiary Education

**Australian Capital Territory**

The Australian National University

University of Canberra

**Multi-State**

Australian Catholic University

## **Appendix 2. Partner Organisations**

### **Eligibility**

To be an eligible Partner Organisation, an organisation must be:

- a. a private sector organisation;
- b. a private non-profit organisation; or
- c. a Government organisation – in general, State, Territory or Commonwealth Government organisations are eligible to participate as Partner Organisations where funds they are committing to the project have not previously been appropriated either for internal research-related activities or for any other purpose of research, evaluation and/or consultancy.

Notwithstanding the above, the following organisations and types of organisation are not eligible as Partner Organisations under *Linkage Projects*:

- a. higher education organisations and their controlled entities, including their commercial arms;
- b. any organisation which in the ARC's opinion is associated with a higher education organisation and which provides undergraduate or postgraduate training as a substantial part of its activities;
- c. Rural Research and Development Boards / Corporations;
- d. State and Territory Government Research and Development organisations;
- e. Co-operative Research Centres (CRCs);
- f. the Defence Science and Technology Organisation (DSTO);
- g. the Australian Nuclear Science and Technology Organisation (ANSTO);
- h. the Commonwealth Scientific and Industrial Research Organisation (CSIRO);
- i. Geoscience Australia (GA);
- j. the Australian Institute of Marine Sciences (AIMS);
- k. the Institute of Advanced Studies (IAS) at the Australian National University;
- l. the Environmental Research Institute of the Supervising Scientist (ERISS);
- m. the Australian Antarctic Division (AAD);
- n. any entity (for example joint ventures) where a majority of the membership is made up of, or ownership and/or control is exercised by, other organisations or their representatives, which are not themselves eligible to be a Partner Organisation;
- o. any other organisation that the ARC considers to be substantially funded for research or research-related activities from State, Territory or Commonwealth Government sources or from Governments of other countries.

If, after reading these Funding Rules, any doubt exists over the eligibility of an organisation to be a Partner Organisation, advice can be sought from the ARC about the status of the organisation. A request seeking a ruling about the eligibility of an organisation must comply with the process described in Section 7.1. The request must include information concerning the proposed Partner Organisation's activities, ownership, and financial information such as a summary statement which might be included in an annual report.

## **Overseas Partner Organisation**

The ARC is prepared to accept an overseas organisation as a Partner Organisation where the organisation meets the eligibility criteria above. Where a Proposal includes an overseas Partner Organisation, the Proposal must address the following additional criteria to the satisfaction of the ARC:

- a. the economic or social benefit of the research to Australia, and
- b. the intended use of the research outcomes in Australia.

Where similar Proposals involving Australian and overseas Partner Organisation(s) are competing at the margin for funding, the ARC may give priority to the Proposal involving Australian Partner Organisations. An Australian Partner Organisation is an eligible Partner Organisation, or part of such an organisation, that is incorporated under Australian law and is operating in Australia.

### **Partner Organisation Contributions – general requirements**

Only costs directly relevant to the proposed project are taken into account as eligible Partner Organisation contributions. The entire contribution from Partner Organisations must be specific to the project and not part of a broader contribution to an Eligible Organisation. The contribution may be used, for example, to assist the project with personnel costs (excluding the salaries of CIs), provision of equipment or the use of a laboratory. Costs of capital works and general infrastructure are not normally considered for inclusion in the Partner Organisation contribution.

The ARC examines the proposed level of a Partner Organisation's cash and in-kind financial support carefully and may make any adjustments it considers necessary to reflect what it considers to be the true value of the contribution. The Partner Organisation's contribution (both in cash and in-kind) must be reported by the Administering Organisation in its end-of-year report.

Guidelines to assist Applicants and Partner Organisations in determining the value of in-kind contributions can be found at Appendix 5.

Partner Organisations such as community groups, small business enterprises, charities, and start-up commercial organisations that can demonstrate that they do not have ready access to cash reserves may seek exemption for the minimum cash requirements outlined below, except for cash requirements associated with APAI stipends. In such cases, the Applicant must submit a request for exemption according to the process described in Section 7.1. The request must quantify in detail the in-kind contributions and the Partner Organisations' commitment to providing it. However, Applicants should note that the cash contribution is an important indicator for assessors when judging the degree of commitment and level of collaboration from the Partner Organisation.

### **Partner Organisation Contributions where the Proposal does not involve an APAI**

For Proposals which do not involve a request for an APAI stipend, the combined Partner Organisation contributions, in cash (i.e. funds to be transferred to the Administering Organisation) or in kind (i.e. other eligible contributions of resources), must at least match the total amount sought from the Commonwealth.

If a Proposal is seeking on average \$50,000 or more per year from the Commonwealth, the combined Partner Organisation contribution in cash must be at least 20 per cent of the total amount sought from the Commonwealth.

If a Proposal is seeking on average \$500,000 or more per year from the Commonwealth, the combined Partner Organisation contribution in cash must be at least 50 per cent of the total amount sought from the Commonwealth.

### **Partner Organisation Contributions where the Proposal involves an APAI**

Where a Proposal seeks support for an APAI student, the Partner Organisation must contribute a minimum of \$6,000 in cash and \$6,000 in cash or in kind (that is, \$12,000 in total) for each year the student is to receive a stipend. In-kind payments alone will not suffice for this purpose. Where a PhD APAI is extended beyond the normal 3-year period (by up to six months), the Partner Organisation is not required to provide further cash or in-kind contributions associated with the APAI.

Support requested for project costs over and above those sought to support an APAI stipend must (in addition) be at least matched in cash and/or in-kind by the Partner Organisation.

Where a Proposal is seeking on average \$50,000 or more per year from the Commonwealth, the combined Partner Organisation contribution in cash (including for APAIs) must be at least 20 per cent of the total amount sought from the Commonwealth.

Where a Proposal is seeking on average \$500,000 or more per year from the Commonwealth, the combined Partner Organisation contribution in cash (including for APAIs) must be at least 50 per cent of the total amount sought from the Commonwealth.

### **Offer of funding**

A project may not begin, nor ARC funds be expended, until the Funding Agreement between the Administering Organisation and the ARC has been signed, and the Partner Organisation(s) and the Administering Organisation have entered into a written agreement (the Partner Organisation Agreement) as required in the Funding Agreement.

With the exception of the above APAI-related Partner Organisation contribution, if the amount of Commonwealth funding approved for a *Linkage Projects* project varies from the amount requested, the Applicant must discuss the matter with the Partner Organisation. Where the Partner Organisation agrees the research project is viable within the parameters of the varied amount of Commonwealth funding, pro rata adjustments may be made to the proposed project budget.

### **Eligibility for concessional treatment**

Partner Organisation contributions to a *Linkage Projects* project may be eligible for the R&D Tax Concession to the extent that the expenditure is incurred by an eligible company in respect of eligible R&D activities and provided that all other relevant requirements are met.

Detailed information on the eligibility requirements for the R&D Tax Concession can be obtained from AusIndustry State Offices in each capital city. Details of the programs administered by AusIndustry can be obtained from its homepage (<http://www.ausindustry.gov.au>).

If an eligible company is unsure whether it can claim the contribution as research and development expenditure, it can apply for a private binding ruling from the Australian Taxation Office (ATO). Details on how to apply and what information needs to be provided can be obtained from the ATO.

## **Appendix 3. APAI information**

### **Eligibility**

Students are likely to be recent graduates interested in applied research or graduates with some years of relevant work experience who wish to undertake research work in order to complete a higher degree. APAI funding is provided on the basis of full-time study and the student is to begin in the first year of the project.

To be eligible to receive APAI funding, a student must:

- a. be an Australian citizen, an Australian permanent resident, or a New Zealand citizen;
- b. be enrolled in a full-time postgraduate research degree at an Eligible Organisation;
- c. have an appropriate Honours 1 or 2A (or equivalent) undergraduate degree;
- d. not be receiving similar funding or stipend from a Commonwealth Government program;
- e. not already have completed a degree at the same level as the proposed candidature or at a higher level; and
- f. not previously have held an Australian Postgraduate Award or APAI unless it was terminated within the first six months of the earlier award.

The organisation where the student is enrolled may credit periods of study already undertaken towards the degree. If this occurs, the periods of study before the beginning of the APAI will be deducted from its maximum period of tenure.

The Administering Organisation must inform the ARC of any changes to an award that affect the amount or duration of funding.

APAI students may receive additional funding and/or payments from other sources provided that such funding and/or payments do not contravene their host organisation rules applying to *Linkage Projects* APAI holders and that the Partner Organisation(s) has no objection to the funding and/or payments.

### **Entitlements from the Commonwealth for APAIs**

Details of APAI stipend rates for the current year are set out on the ARC web site (<http://www.arc.gov.au>). Stipend rates are indexed annually.

APAIs can be sought for up to three years. Where the award is based on enrolment for a Masters degree, the ARC will allocate a maximum of up to two years stipend only. PhD APAIs will be allocated a maximum of three years, with a possible six-month extension. For a successful APAI request, the Commonwealth will pay:

- a. the APAI stipend each year; and
- b. a further contribution towards relocation and thesis expenses, as outlined below.  
These expenses should be claimed by the Administering Organisation in the End-of-Year report, and any unspent amounts should be reported.

### **Relocation allowance**

The Administering Organisation will make payments up to the maximum amount specified for relocation costs on the ARC website to an APAI student relocating residence in order to take up her/his position or for an approved transfer, provided that the student provides evidence of expenditure on relocation costs to the Administering Organisation within six months of the expenditure being incurred. The ARC will reimburse the Administering Organisation provided

that the claim is submitted within a year of the expenditure. The ARC will reimburse up to a maximum of \$6000 for all allowances combined, in accordance with the Funding Agreement.

### **Thesis allowance**

The Commonwealth will provide up to \$840 toward the production of a PhD thesis or \$420 toward the production of a Master's thesis. This amount must be provided by the Administering Organisation to the student if:

- a. the student's thesis is submitted within six months of the completion of the project;
- b. a claim is made within twelve months of the end of the project; and
- c. the student provides to the Administering Organisation evidence of expenditure relating to producing the thesis.

### **Taxation**

Full-time APAI stipends are tax-exempt under section 51-10 of the *Income Tax Assessment Act 1997*.

### **HECS exemption**

An APAI student is an exempt student under the *Higher Education Support Act 2003* for the purpose of her/his enrolment in the full-time postgraduate research degree.

## **Appendix 4. APDI information**

A successful ADPI Fellow would be appointed by the host organisation for three years to work full-time on the approved project. Tenured researchers who meet the eligibility criteria and obtain an APDI must resign from their substantive position before the project begins.

### **Entitlements from the ARC for an APDI**

For an APDI, the ARC will pay to the Administering Organisation, as part of funding for the *Linkage Projects* project, a sum of approximately \$60,180 (plus approximately \$16,850 on-costs) per year as a contribution towards the salary of the Fellow. Remuneration levels are reviewed each year.

### **Eligibility exemption**

Please refer to the information at Sections 5.6 and 7.1 of these Funding Rules.

### **Relocation allowance**

The Administering Organisation will make payments to an APDI Fellow for travel and removal expenses associated with her/his relocating residence in order to take up her/his position on condition that the Fellow provides full particulars of mode and time of travel and the receipts for all other payments (for example, removal expenses) to the Administering Organisation within six months of the expenditure being incurred. The ARC will reimburse the Administering Organisation only in the context of the End-of-Year Report, provided that the claim is submitted within a year of the expenditure.

The ARC will reimburse in accordance with the Funding Agreement the following relocation expenses:

- a. travel expenses, not exceeding the cost of the cheapest direct airfare, for the APDI Fellow and his/her dependants. Where a Fellow elects to travel by car, the Commonwealth will provide a mileage allowance up to the maximum equivalent of the cheapest direct airfare. On completion of the Fellowship, the Fellow will be entitled to the same return fare provisions and removal expenses, provided that he/she has not obtained subsequent employment in Australia for a period exceeding twelve months;
- b. relocation costs for the Fellow and her/his dependants. For the purposes of relocation entitlements, a dependant is defined as a person who moves residence with the Fellow. A spouse/partner who transfers employment to the city of the host organisation may be regarded as a dependant; a child continuing to study at the former city and not intending to live with the Fellow, may not be regarded as a dependant.

## **Appendix 5. Guidelines for the evaluation of the adequacy of Partner Organisation in-kind contributions**

Appendix 2 describes the requirements for both cash and in-kind contributions by Partner Organisations. This appendix contains guidelines to be used in determining the value of in-kind Partner Organisation contributions.

### **Underlying principles and practical considerations**

The primary objectives in examining Partner Organisation in-kind contributions are to ensure that the available support is adequate for the successful completion of the project and that the Partner Organisation contribution is in accordance with the budget, aims and research plan contained in the Proposal.

In-kind contributions that are shown to be essential and central to the conduct of the project are given full recognition in evaluating the dollar-for-dollar contribution. The onus is on the Administering Organisation to establish the merit of the case for recognition of the level and extent of the in-kind contribution.

In-kind contributions to a project may include scientific liaison and management, direct technical support, or unique access to reagents or equipment.

Corporate membership or subscription fees in industrial consortia do not qualify as Partner Organisation contributions but the allocation of designated research funds, together with the identification of the linkages between the member and the project, does qualify.

### **Guidelines for recognising in-kind budget items in Partner Organisation contributions**

This list is not all-inclusive. If in doubt as to the acceptability of a particular item, please consult:

*Linkage Projects* Coordinator  
 Australian Research Council  
 GPO Box 2702  
 CANBERRA ACT 2601

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

| Category                      | Accepted  | Not Accepted   |
|-------------------------------|---|--|
| Access to unique databases    | Incremental costs of access   | Cost of collecting the database  |
| Analytical and other services | Internal rates  | Commercial rates   |
|                               | Incremental cost of providing service   |  |
| Equipment                     | Contributed – Used<br>- fair market value<br>- company book value<br>- price for internal transfers | List price or discounted list price<br>Rental equivalents exceeding accepted values had the equipment been donated or sold |

| Category   | Accepted  | Not Accepted   |
|--|---|--|
| Equipment (continued)  | Contributed - New<br>- selling price to most favoured customer (if stock item)<br>- cost of manufacture (if one of a kind)<br>- cost of purchase  | Development costs  |
|  | Lent<br>- rental equivalent based on depreciation<br>- rental rate equivalent to highest-volume user  |  |
|  | Sold<br>- difference between discounted price and selling price to most favoured customer   |  |
| Materials  | Unit cost of production for commercial products<br>Selling price to most favoured customer<br>Price for internal transfers<br>Cost of production of prototype and samples                         | Development costs (unless it is an integral part of the proposed project)  |
| Patents and licences   | Licences acquired from third parties for use by the university in the project   | Patents<br>Licensing fees paid to the university   |
| Payments concerning the CI   | Payment to the university for release time from teaching duties   | Payment to the CI as consulting fees or honoraria (additional to normal salary)  |
| Salaries   | Typical salary cost (including on costs) at internal rates  | External charge-out or consultant rates<br>Costs relating to administrative support where overhead has been included in salary costs |
| Contributed software<br>(need to distinguish between existing software used as a tool for analytical purposes and the Partner Organisation's contribution to developing new software tools where this is one of the main objectives of the Proposal) | Copying costs<br>Licensing cost<br>Documentation cost<br>Cost of training and support of software<br>Cost of equivalent commercial product (where donated software is not commercially available) | Development costs  |
| Travel   | Travel costs associated with field work<br>Travel costs to meet with university personnel & Partner Organisation staff<br>Conference travel for university staff                                  |  |

| Category          | Accepted   | Not Accepted  |
|-------------------|--|---|
| Use of facilities | <p data-bbox="647 255 1031 376">Internal rates for logistical support and travel allowance for university personnel working on Partner Organisation premises or on field work</p> <p data-bbox="647 394 1031 488">Internal rates for use of specialised equipment by university personnel or use of process or production lines</p> <p data-bbox="647 506 1031 562">Internal rates for value of lost production resulting from down time</p> | <p data-bbox="1056 255 1343 315">Use of equipment by Partner Organisation personnel.</p> <p data-bbox="1056 333 1385 427">Space for Partner Organisation activities outside the scope of the specific Proposal</p> <p data-bbox="1056 445 1337 472">Equivalent commercial rates</p> |

## **Appendix 6. National Research Priorities and associated Priority Goals**

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

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

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

Australia faces significant environmental challenges:

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

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

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

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

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

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

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

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

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

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

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

Priority goals for research fall in the seven areas of water utilisation, transforming resource-based industries, overcoming land degradation, developing cleaner, more efficient fuels and

energy sources, managing biodiversity, deep earth resources and responding to climate change and variability.

## **Priority Goals**

- **Water – a critical resource**

*Sustainable ways of improving water productivity, using less water in agriculture and other industries, providing increased protection of rivers and groundwater and the re-use of urban and industrial waste waters.*

Australia is one of the driest continents and is dependent upon access to freshwater supplies for economic and social development. It has a complex geological structure, a highly variable climate, unique ecosystems, flora and fauna and a distinctive indigenous and settler history. Enhancing our understanding of the links between these factors and water availability will result in a better understanding of sustainable water management practices.

- **Transforming existing industries**

*New technologies for resource-based industries to deliver substantial increases in national wealth while minimising environmental impacts on land and sea.*

Resource-based industries underpin much of Australia's prosperity and have the potential to do so in the future. For example, Australia remains highly prospective for minerals discoveries and highly attractive for the development of new era foods from agricultural and marine sources. Our competitive advantage and national well being will depend on research and on the development and adoption of new technologies.

- **Overcoming soil loss, salinity and acidity**

*Identifying causes and solutions to land degradation using a multidisciplinary approach to restore land surfaces.*

The Australian landscape is fragile: soil salinity, acidity, and nutrient levels pose significant, long term challenges for agriculture and the environment. Research is helping to find solutions to these problems. For example, the National Land and Water Resources Audit shows the extent of salinity, soil erosion and soil acidification in the Australian environment and illustrates Australia's leading edge in national mapping of critical resource data. Further multidisciplinary effort is required to develop sustainable land management practices that are appropriate for Australian conditions and mitigate major land degradation processes and increase biodiversity.

- **Reducing and capturing emissions in transport and energy generation**

*Alternative transport technologies and clean combustion and efficient new power generation systems and capture and sequestration of carbon dioxide.*

Australia is well positioned to produce world class solutions to reduce and capture greenhouse gas emissions and the Government is committed to meeting the emissions

target set for Australia at Kyoto. We are also well placed to develop alternative energy technologies and ecologically sustainable transport and power generation systems.

- **Sustainable use of Australia's biodiversity**

*Managing and protecting Australia's terrestrial and marine biodiversity both for its own value and to develop long term use of ecosystem goods and services ranging from fisheries to ecotourism.*

Australia has a unique and rich flora and fauna. Many of our complex ecosystems – on which our agricultural, fisheries and tourism industries depend - have adapted to events such as drought and fire, and have been shaped by indigenous and settler management practices. There is a need for a more comprehensive understanding of these natural systems and the interplay with human activities, and the effects of management and protection measures.

- **Developing deep earth resources**

*Smart high-technology exploration methodologies, including imaging and mapping the deep earth and ocean floors, and novel efficient ways of commodity extraction and processing (examples include minerals, oil and gas) while minimising negative ecological and social impacts.*

Many of Australia's known mineral assets may be nearly exhausted within the next decade. New land-based deposits are believed to be buried deeper in the crust and the deep marine areas surrounding Australia are also largely unexplored. New technologies, such as remote sensing, indicate scientists are on the brink of being able to 'see' inside the earth and identify deeply buried deposits.

- **Responding to climate change and variability**

*Increasing our understanding of the impact of climate change and variability at the regional level across Australia, and addressing the consequences of these factors on the environment and on communities.*

Australia already has a highly variable climate, and climate change can be expected to have further significant impacts. It is important to enhance our understanding of the consequences of climate change and variability at the regional level across Australia, and the implications for the environment and for communities. It is also important to explore beneficial adaptation strategies to climate change and variability to ensure ongoing social, economic and environmental well being.

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

### *Promoting good health and well being for all Australians*

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

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

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

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

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

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

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

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

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

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

However, while Australia has an enviable record in health and medical research, the research effort is spread across the many universities, hospitals and health and medical research institutes, resulting in critical mass only in limited areas of research.

There is also a need to draw on multidisciplinary approaches that include research contributions from the social sciences and humanities.

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

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

### **Priority Goals**

- **A healthy start to life**

*Counteracting the impact of genetic, social and environmental factors which predispose infants and children to ill health and reduce their well being and life potential.*

Human health in the developing foetus and in early childhood is critical to the future well being of the adult. Research shows that health and well being in early childhood is predictive of later positive outcomes, and that health in middle and late childhood is also crucial. This goal supports the Government's National Agenda for Early Childhood initiative.

- **Ageing well, ageing productively**

*Developing better social, medical and population health strategies to improve the mental and physical capacities of ageing people.*

Australia's population is ageing, with a significant projected increase in the number of people aged over 65 and over 85. While Australia is relatively well placed compared with many OECD nations, major shifts in cultural expectations and attitudes about ageing are necessary to respond constructively, at both an individual and population level. A healthy aged population will contribute actively to the life of the nation through participation in the labour market or through voluntary work. This goal supports the Government's National Strategy for an Ageing Australia.

- **Preventive healthcare**

*New ethical, evidence-based strategies to promote health and prevent disease through the adoption of healthier lifestyles and diet, and the development of health-promoting products.*

Preventive healthcare research will improve the prediction and prevention of disease and injury for all Australians through the adoption of healthier behaviours, lifestyles and environments. Research will generate an improvement in the design, delivery and uptake of programs such as exercise-based rehabilitation. There are several major disease targets amenable to immediate study, such as cardiovascular health, neurodegenerative diseases, mental ill-health, obesity, diabetes, asthma and chronic inflammatory conditions. Research on prevention will emphasise interdisciplinary approaches, including research on ethics, drawing on contributions from the social sciences and humanities, as well as from the health and medical sciences. It will also focus on developing new health promoting foods and nutraceuticals. This goal supports the Government's Focus on Prevention initiative.

- **Strengthening Australia's social and economic fabric**

*Understanding and strengthening key elements of Australia's social and economic fabric to help families and individuals live healthy, productive, and fulfilling lives.*

Living in today's society involves a complex web of choices, yet many of the traditional support structures are weaker than they have been in the past. Enabling people to make choices that lead to positive pathways to self reliance and supportive family structures is more important than ever. The interactions between the social safety net, social and

economic participation, financial incentives and community and private sources of support are critical in helping people maximise their potential and achieve good, healthy, lifetime outcomes. In the decade ahead, it will be vital to understand and support the drivers for workforce participation and the broader social and economic trends influencing Australian families and communities. This goal supports the Government's welfare reform and participation agendas. Research in this area will emphasise interdisciplinary approaches, drawing on contributions from the economic, behavioural and social sciences

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

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

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

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

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

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

But breakthrough science underpins technological advancements in many areas and Australia needs to foster an environment that stimulates creativity and innovation.

Applications for frontier technologies are potentially very large. Australia has the capacity to exploit niche markets for new products and services.

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

Smart information use involving improved data management, intelligent transport systems and digital media to develop creative applications for digital technologies provides huge opportunities to improve the performance of key Australian industries.

Australia needs to invest in this research area as it is fundamental to our future competitiveness and well being.

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

A better understanding of the conditions that are conducive to innovation will ensure that Australia's investment in research will maximise the benefits for Australia.

Enhanced research effort will also be achieved through initiatives that develop a critical mass of researchers in key areas.

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

## **Priority Goals**

- **Breakthrough science**

*Better understanding of the fundamental processes that will advance knowledge and facilitate the development of technological innovations.*

Breakthrough science underpins technological innovation across a range of industries critical to maintaining Australia's position as a developed country. Some examples include bio-, cultural- and geo-informatics, nano-assembly and quantum computing. Technological advances are often unexpected and a strong foundation in mathematics and the fundamental sciences will provide an environment that fosters creativity and innovation. Early participation in leading edge areas of research will enable Australian researchers to benefit more fully from international developments.

- **Frontier technologies**

*Enhanced capacity in frontier technologies to power world-class industries of the future and build on Australia's strengths in research and innovation (examples include nanotechnology, biotechnology, ICT, photonics, genomics/phenomics, and complex systems).*

The potential applications of frontier technologies across a range of industries in Australia are vast. Australia has significant capacity to exploit niche markets for new products and services emerging from frontier technologies. Australia has world-class research expertise in many such areas. Some examples include nanotechnology, biotechnology, ICT, photonics, genomics and phenomics. Also important are advanced frameworks such as complex systems in which these technologies are applied. Future directions in this priority area need to target the cutting-edge science critical for each emerging technology.

- **Advanced materials**

*Advanced materials for applications in construction, communications, transport, agriculture and medicine (examples include ceramics, organics, biomaterials, smart material and fabrics, composites, polymers and light metals).*

The development of advanced materials will underpin growth in many areas of industrial and economic activity in Australia. Australia has substantial infrastructure in this area and an enviable track record as an innovator and developer of advanced materials. The era of advanced materials is just beginning, in spite of the tremendous progress in recent years. Substantial scientific and technological challenges remain ahead, including the development of more sophisticated and specialised materials. Some examples include ceramics, organics, biomaterials, smart materials and fabrics, composites, polymers, and light metals.

- **Smart information use**

*Improved data management for existing and new business applications and creative applications for digital technologies (examples include e-finance, interactive systems, multi-platform media, creative industries, digital media creative design, content generation and imaging).*

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

- **Promoting an innovation culture and economy**

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

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

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

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

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

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

The threats can potentially come from within and outside Australia.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## **Priority goals**

- **Critical infrastructure**

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

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

- **Understanding our region and the world**

*Enhancing Australia's capacity to interpret and engage with its regional and global environment through a greater understanding of languages, societies, politics and cultures.*

Social, cultural and religious issues are of growing significance due to the insecurities of globalisation and the increasing role of non-state players in the security environment. Australia's capacity to interpret and engage with its regional and global environment will be substantially improved by enhancing its research base in apposite languages,

societies and cultures. An approach that enhances Australia's capacity to interpret itself to the rest of the world is also needed.

- **Protecting Australia from invasive diseases and pests**

*Counteract the impact of invasive species through the application of new technologies and by integrating approaches across agencies and jurisdictions.*

Australia is free of many of the pests and diseases affecting primary production around the world. This status needs to be protected as the introduction of exotic species has the potential to adversely affect our exports and the environment. Australia already has strong skills and expertise in this area of research and further work will offer immediate benefits to the community. A greater level of coordination of our research effort will mean that Australia can more effectively develop innovative and rapid solutions to serious threats.

- **Protecting Australia from terrorism and crime**

*By promoting a healthy and diverse research and development system that anticipates threats and supports core competencies in modern and rapid identification techniques.*

Protecting Australia from terrorism is now more important than ever before in light of recent events and our involvement in the 'war on terror'. The new threat requires a more sophisticated response which should harness Australia's research capabilities, and which will focus on all phases of counter-terrorism; prevention, preparedness, detection, response and recovery. Crime takes a significant toll on Australian society and economy. The June 2000 report from the Prime Minister's Science, Engineering and Innovation Council estimated that crime costs Australia at least \$18 billion per annum. Personal identification, information protection and the integrity of security systems are fundamental towards ensuring the national security of Australia. An effective solution will include building on Australia's existing strengths in rapid detection using new analytical technologies and managing significant data collections.

- **Transformational defence technologies**

*Transform military operations for the defence of Australia by providing superior technologies, better information and improved ways of operation.*

Australia has a small defence force to protect a large continent and a substantial maritime region of responsibility. Its operational advantage has been maintained through a superior capability which is dependent on leveraging innovative technologies. Although some benefits can be gained from overseas research, Australia has to conduct its own research to address uniquely Australian demands. A systems approach which harnesses the research capabilities of all stakeholders is essential to the successful development and introduction of innovative technologies.