Australian Government

Australian Research Council

Linkage Projects Funding Rules for funding commencing in 2010

Australian Research Council Act 2001

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

Dated 10 March 2009

Minister for Innovation, Industry, Science and Research

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Acronyms

The following acronyms are used in ARC Funding Rules.

AEDT	Australian Eastern Daylight Saving (Summer) Time
AEST	Australian Eastern Standard Time
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
APAI	Australian Postgraduate Award (Industry)
APDI	Australian Postdoctoral Fellowship (Industry)
ARC	Australian Research Council
AVCC	Australian Vice-Chancellors' Committee
CE	ARC *Centres of Excellence* and ARC *Centres*
CoE	ARC College of Experts
CI	Chief Investigator
CRC	Cooperative Research Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DP	ARC *Discovery Projects*
DSTO	Defence Science and Technology Organisation
GA	Geoscience Australia
GAMS	Grant Application Management System
GST	Goods and Services Tax
HECS	Higher Education Contribution Scheme
HELP	Higher Education Loan Programme
IRF	Indigenous Researcher Fellowship
LIF	ARC Linkage Industry Fellowship
LP	ARC *Linkage Projects*
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
PDF	Portable Document Format
PI	Partner Investigator
RMS	Research Management System
UA	Universities Australia
URL	Universal Resource Locator

Key Dates

Round 1

Closing time for Eligibility Exemption/Advice Requests	**5.00 pm (AEST) Wednesday 15 April 2009**
Closing time for submission of Proposals	**5.00 pm (AEST) Wednesday 13 May 2009**
Deadline for letters requesting non-use of an assessor	**5.00 pm (AEST) Wednesday 13 May 2009**

Round 2

Closing time for Eligibility Exemption/Advice Requests	**5.00 pm (AEDT) Wednesday 14 October 2009**
Closing time for submission of Proposals	**5.00 pm (AEDT) Wednesday 18 November 2009**
Deadline for letters requesting non-use of an assessor	**5.00 pm (AEDT) Wednesday 18 November 2009**

Dates for the award of a PhD (or having achieved equivalent status) to be eligible for a *Linkage Projects* APDI Fellowship:

Round 1 On or after 13 May 2006	Round 2 On or after 18 November 2006

Contacts

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

Enquiries, Eligibility Exemption/Advice Requests and Requests not to Assess must be addressed and sent:

by mail to:

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

by courier to:

Linkage Projects Coordinator
Australian Research Council
1st Floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

Email: ncgp@arc.gov.au
Phone: 02 6287 6600
Fax: 02 6287 6638
Web: http://www.arc.gov.au

Appeals must be addressed and sent:

by mail to:

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

or by courier to:

The Appeals Officer
Australian Research Council
1st Floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

Other:

Email: ARC-LinkageProjects@arc.gov.au

Phone: +61 2 6287 6600
Fax: +61 2 6287 6638
Web: http://www.arc.gov.au

RMS User IDs:
Email: rms@arc.gov.au

1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Linkage Projects* Funding Rules for funding commencing in 2010.

2. Commencement

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

3. Definitions

In these Funding Rules, unless the contrary intention appears:

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

Administering Organisation means an Eligible Organisation which submits a Proposal for funding under *Linkage Projects* and which will 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 means the Australian Research Council, as established under the ARC Act.

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

ARC Centre means a research centre wholly or partly funded by the ARC and includes ARC *Centres of Excellence*, ARC *Centres*, ARC *Special Research Centres* and co-funded Centres of Excellence such as the Australian Centre for Plant Functional Genomics (ACPFG), the Australian Stem Cell Centre (ASCC) and National ICT Australia (NICTA).

ARC Centre Fellowship means an ARC Centre Fellowship awarded under the ARC *Centres of Excellence* scheme.

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

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

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

ARC Web Site is http://www.arc.gov.au.

Australian Partner Organisation means a Partner Organisation, or part of such an organisation, that is incorporated under Australian law and is operating in Australia.

Australian Postdoctoral Fellow (Industry) (APDI) means a researcher whose salary is wholly or partly funded under an APDI (under the *Linkage Projects* scheme).

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

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

Collaborating Organisation means any organisation which is identified in the Proposal as a contributor to the project.

Commonwealth means the Commonwealth of Australia.

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

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

Consultancy means the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s).

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

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

Eligibility Advice Request means a request submitted by an Applicant to the ARC for advice on the likelihood of the Proposal satisfying certain requirements.

Eligibility Exemption Request means a request submitted by an Applicant to the ARC for a relaxation of the eligibility requirements stipulated in the Funding Rules.

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.

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

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

Indigenous Researcher Fellow means a researcher whose salary is wholly or partly funded under an IRF (under the *Discovery Indigenous Researchers Development* scheme).

Linkage Industry Fellow means a researcher whose salary is wholly or partly funded under an ARC Linkage Industry Fellowship (under the ARC *Linkage Projects* scheme).

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

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

National Research Priority means a national research priority detailed in Appendix I.

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

Partner Organisation means an organisation, other than an Eligible Organisation, which is to be a contributor to the project, and which meets the requirements specified in Section 7.2.

Partner Organisation Cash Contribution means the cash funding from a Partner Organisation(s) which is provided to the Administering Organisation to administer.

Project Leader means the first-named researcher nominated on a Proposal who is a CI or ARC Fellow.

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

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

4. Introduction

4.1 Overview and NCGP Objectives

4.1.1 This document sets out the Funding Rules for *Linkage Projects*, a scheme funded under the ARC National Competitive Grants Program (NCGP), which comply with the requirements of the ARC Act.

4.1.2 All parties involved in Proposals should read and understand the Funding Rules and the ARC draft Funding Agreement (which is available at the ARC Web Site) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.

4.1.3 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.

4.1.4 These Funding Rules are current as at March 2009 and have been prepared in accordance with the requirements of the ARC Act in force then. These Funding Rules are subject to change at any time, for reasons including any subsequent amendment to, replacement or supplementation of the ARC Act.

4.1.5 The ARC is an Australian Government statutory authority established under the ARC Act. The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer funding to support research programs, and to provide policy advice related to research.

4.1.6 The ARC has established a range of competitive funding schemes for the support of research and research training under the framework of the NCGP. A list of current NCGP funding schemes is available on the ARC Web Site.

4.1.7 By the operation of a range of funding schemes under the NCGP, the ARC aims to:

a. maintain and build on existing research and research training;

b. build the scale and focus of research and research training;

c. encourage cross-disciplinary approaches to research and research training;

d. facilitate collaborative approaches to research and research training; and

e. support research and research training of national benefit, including in the following National Research Priorities:

   i. An Environmentally Sustainable Australia;

   ii. Promoting and Maintaining Good Health;

   iii. Frontier Technologies for Building and Transforming Australian Industries; and

   iv. Safeguarding Australia.

4.1.8 Descriptions of these National Research Priorities and their associated Priority Goals can be found in Appendix I, and on the ARC Web Site.

4.2 Linkage Projects

4.2.1 *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.

4.2.2 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 and end-users, 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 rural and regional communities;

c. enhance the scale and focus of research in National Research Priorities (Appendix I);

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.

4.3 Selection Criteria

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

4.3.1 Investigator(s) (20%)

a. Track record of all Chief Investigators (CIs), Partner Investigators (PIs) and Australian Postdoctoral Fellowship (Industry) (APDI) candidates relative to opportunities and, where relevant, suitability to supervise postgraduate students (as appropriate).

b. Capacity to undertake and manage the proposed research.

4.3.2 Proposed project content (55%) made up of

a. Significance and innovation (25%)

- does the research address an important problem?
- how will the anticipated outcomes advance the knowledge base?
- are the project aims and concepts novel and innovative?
- will new methods or technologies be developed?

b. 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?

c. National Benefit (10%)

- what is the potential National Benefit of the research project; will the project provide economic, social and/or cultural benefits based on the expected results and outcomes of the project?
- 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?

4.3.3 Nature of the alliance, commitment from Partner Organisation(s) and Budget (25%)

a. Is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research project?

b. Will the proposed research encourage and develop strategic research alliances between the higher education organisation(s) and other organisation(s)?

c. Value for money and budget justification.

4.4 Australian Postdoctoral Fellowships (Industry)

Assessment of Australian Postdoctoral Fellowship (Industry) (APDI) requests is based on the excellence of the track record of the candidate relative to opportunities, as well as the excellence of the proposed project. A Proposal containing a Fellowship request must provide details of the contribution of the proposed APDI Fellow to the project and the research environment of her/his proposed Host Organisation. Preference may be given to award APDIs to candidates who have the potential to enhance international collaboration.

4.5 Projects that are of Benefit to a Rural or Regional Community

4.5.1 Subject to the ARC's receiving in a funding round an adequate number of requests of the requisite type and of sufficient quality, at least 20 per cent of available *Linkage Projects* funding will be allocated to support collaborative research projects addressing 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.

4.5.2 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.

4.6 Australian Postgraduate Award (Industry) in the Fields of Information Technology and Communications

4.6.1 Under these Funding Rules, subject to an adequate number of requests of the requisite type and of sufficient quality being received, at least 50 Australian Postgraduate Award (Industry) (APAI) places in the field of information technology and communications will be allocated in addition to other APAI funding.

4.6.2 If 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.

4.7 Linkage Industry Fellowships (LIFs)

4.7.1 Linkage Projects offers the opportunity to request a Linkage Industry Fellowship, which provides support for salary-related costs involved in a temporary transfer of a researcher from one of the Eligible Organisations participating on the Proposal/project to one of the other Eligible or Partner Organisations participating on that Proposal/project, or vice versa.

4.7.2 Proposals may include a request for funding for salary and salary-related on-costs (at the rate of 28%) for a LIF, up to a maximum of $200,000 over the duration of the fellowship. A Proposal may not request more than one LIF. LIFs will be funded, if, in the opinion of the ARC, an outstanding case is made for the fellowship. ARC funds may be used for a LIF only if specifically approved for that purpose via a Special Condition.

4.7.3 To request a LIF, a Proposal must:

a. identify the proposed Linkage Industry Fellow, who must be:

   i. an eligible CI nominated on the Proposal; or

   ii. an eligible PI nominated on the Proposal who is an employee of one of the Partner Organisations on the Proposal for at least 50 per cent (0.5 Full Time Equivalent) of her/his time;

b. identify and provide justification for the amount of salary-related support requested for the LIF (not more than $200,000) and the proposed duration and timing of the fellowship and detail how the support requested will be used;

c. describe and justify the nature of the temporary transfer, which must include physical transfer of the Linkage Industry Fellow for the duration of the fellowship from one of the Eligible Organisations listed on the Proposal to one of the Partner Organisations or one of the other Eligible Organisations listed on the Proposal, or vice versa; and

d. make a strong case for the LIF in terms of the benefits to the project and the contribution towards the objectives of *Linkage Projects*.

4.7.4 The ARC reserves the right to make a recommendation on the level of support for, and duration of, a LIF. The ARC may recommend a level and duration which differ from those requested.

4.7.5 The "*Linkage Projects Instructions to Applicants for Funding Commencing in 2010*" document provides more detailed information on how to request a LIF within a Proposal.

4.8 Conflict of Interest

4.8.1 All parties involved in or associated with Proposals and ARC-funded research projects are required to disclose to the ARC, and the other parties involved in the Proposal/project (including all Collaborating Organisations), any Conflict of Interest which has the potential to influence, or appear to influence, the request for funding, or the research and activities, publications and media reports related to the Proposal/project. Such conflicts must be disclosed to the ARC at the time of the submission of a Proposal, and in reporting on ARC-funded research projects, and notified to the other parties as soon as practicable after the Conflict of Interest is identified.

4.8.2 If, in the opinion of the ARC, any party involved in or associated with a Proposal has failed to disclose any such Conflict of Interest, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that party.

4.8.3 If a Conflict of Interest exists or arises, the Administering Organisation must have processes in place and documented for managing the Conflict of Interest for the duration of the project. Such processes must comply with the NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research Practice (2007) and any relevant successor document. In the event of any inconsistency between the original and any successor document, the latter document is to apply.

5. Changes from Last Year

5.1 A number of clarifications and revisions have been made in these Funding Rules. Significant changes from the 2009 *Linkage Projects* Funding Rules include:

a. For the purposes of improved clarity, the Definitions section includes definitions of an Eligibility Advice Request and an Eligibility Exemption Request (Section 3);

b. The Definitions section contains a definition of Adjunct or Emeritus Appointment or equivalent (Section 3). The term is used in relation to the eligibility of CIs;

c. The employment-related eligibility criteria for CIs has been changed to, “at least 50 per cent (0.5 Full Time Equivalent) of her/his time” (subsection 8.3.2.a);

d. Clarification of the conditions under which it is permissible for a project to be continued under replacement CIs after a Proposal has been approved for funding (subsections 8.3.6 and 8.3.7);

e. Changes to the Partner Organisations contributions which are now expressed as a percentage of total ARC request rather than dollar values (Appendix E Section E3); and

f. The Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS) is now eligible to submit Proposals for the full range of funding available in *Linkage Projects* (Appendix C).

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

6. Funding

6.1 Level of Funding

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

6.1.2 The minimum level of funding which will be provided by the ARC for a project under a *Linkage Projects* funding round is $20,000 per calendar year and the maximum is $500,000 per calendar year. In exceptional circumstances, the ARC is prepared to consider higher funding levels of up to $2,000,000 per year, 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).

6.1.3 If an APDI Fellowship is requested, the Proposal should include a request for the Fellowship salary and on-costs in the budget (Appendix D).

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

6.1.5 The amount of funding sought in a *Linkage Projects* Proposal will depend on the Applicant's capacity to obtain the required contribution from its Partner Organisation(s), as described in Appendix E.

6.2 Period of Funding

6.2.1 Funding may be payable under these Funding Rules for *Linkage Projects* projects in respect of the financial year 2009-10 (for Round 1 Proposals) and 2010-11 (for Round 2 Proposals) and any subsequent years to which the ARC Act applies. Funding for approved projects will commence with effect 1 January 2010 (for Round 1 Proposals) and 1 July 2010 (for Round 2 Proposals), unless other arrangements are approved by the ARC.

6.2.2 Projects may be funded for 1 to 5 years, subject to sufficient funding being available for *Linkage Projects*, the provisions of the ARC Act, and continued satisfactory progress of the project.

6.2.3 APDIs may be awarded funding for 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 regarding APDIs are provided in Appendix H.)

6.2.4 For the purposes of these Funding Rules, the term of a researcher's fellowship is determined based on the date on which the researcher commenced the fellowship. In the case of fellowships awarded under these Funding Rules, the commencement date will be 1 January 2010, (for fellowships awarded under Round 1) and 1 July 2010 (for fellowships awarded under Round 2), unless the commencement has been deferred to a later date approved by the ARC.

6.2.5 APAI stipends may be awarded for a period of up to three years with provision under certain conditions for an additional six months' support from the ARC for PhD students. If a Proposal seeks APAI funding for less than the three-year maximum, including for a Master's degree, there is no provision for an additional six months' stipend. (Further details regarding APAIs are provided in Appendix G.)

6.2.6 The ARC may recommend funding for a project for a duration different from that requested in the Proposal.

6.2.7 Funding under *Linkage Projects* will be made available in rounds. Applicants are able to apply in the first round by 5:00pm (AEST) 13 May 2009 for funding to commence in January 2010 (Round 1 Proposals), or in the second round by 5:00pm (AEDT) 18 November 2009 for funding to commence in July 2010 (Round 2 Proposals). Prior to commencement of a round the ARC will advise the opening date for lodgement of Proposals. The ARC will allocate funds between the two rounds as it determines necessary and appropriate.

6.3 Types of Research Supported

6.3.1 Subject to Sections 6.4 and 6.5, *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.

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

a. personnel (salaries and on-costs), including:

   i. APDI Fellowships as outlined in Section 8.5 and Appendix H;

   ii. research associates, technicians and laboratory attendants;

   iii. APAIs for postgraduate research students studying towards a Masters or PhD award (see Appendix G for APAI entitlements);

   iv. LIFs – salary support associated with short-term transfers for CIs or PIs from one of the organisations participating on a Proposal/project to one of the other (Eligible or Partner) organisations participating on that Proposal/project, or vice versa, where, in the opinion of the ARC, an outstanding case is made (Section 4.7);

   but excluding those items not permitted pursuant to subsections 6.3.2.b and f;

b. relief from teaching or other duties for CIs, to maximise the opportunity for CIs to interact with the Partner Organisations, but only where the request is well justified to the satisfaction of the ARC and subject to the funding limit applied in Appendix D, Section D2.

c. equipment;

d. maintenance;

e. access to workshop services linked to and justified against the project (e.g. machine tools and qualified technicians available to each member of staff, according to need, for research); and

f. domestic and international travel costs for CIs, PIs, APDI Fellows and research support personnel. Funding is permitted for domestic and international travel

associated with the project, including to foster and strengthen collaborations between researchers in Australia and overseas.

6.4 Restrictions on Budget Items

6.4.1 *Linkage Projects* funds only costs which directly support a research project. The ARC may in its absolute discretion determine whether any proposed costs meet this requirement.

6.4.2 *Linkage Projects* has restrictions on the following budget items:

a. **Capital works and general infrastructure costs** are not funded by the ARC, in whole or in part, under *Linkage Projects*. In addition, they must not be included in the required matching contributions made by Partner Organisations. This does not, however, preclude Partner Organisations from contributing to capital works and general infrastructure costs if the contribution is over and above the required matching contribution.

b. The Commonwealth will not provide support, in whole or in part, to meet the **salaries of CIs or PIs** under *Linkage Projects* apart from the possibility of support for salary-related costs associated with a LIF (Section 4.7). If a Proposal requests salary funding for a CI or PI, the Proposal will not be recommended or approved for funding.

c. *Linkage Projects* funding may be provided to fund the relief of a CI from **teaching or other duties** in order to maximise the opportunity for the CI to interact with the Partner Organisation(s) if it is specifically approved for that purpose. The ARC may fund justified relief for CIs for a maximum period of up to half of the life of the project. If approved, the funding will be in accordance with Appendix D (Section D2) and will be a Special Condition.

d. Funds are not provided for travel or related expenses for researchers when on a **Special Studies Program**.

e. Funds are not provided to pay the **fees of international students** or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students.

f. Research support for PIs. Funds are not provided for PIs, apart from:

   i. short-term project support for investigators visiting from overseas;

   ii. domestic and international travel associated with a project; and

   iii. salary funding for approved LIF Fellows.

g. 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 film or music editing facilities;

   iii. access to a basic library collection;

   iv. standard reference materials or funds for abstracting services;

   v. provision of computers, including laptops (excluding access to high-performance computers or other specialised applications that are justified against the project) and basic computing facilities such as printers, word processing and other standard software; and

vi. use of photocopiers, telephones, mail, fax, email and internet services.

h. Publication costs, including printing and page costs, will not be funded under *Linkage Projects*; and

i. Costs not directly related to a project will not be funded, for example, costs of a personal nature.

6.5 Areas of Investigation/Work Not Supported

6.5.1 *Linkage Projects* does not support:

a. Medical and Dental Research;

b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, film, broadcasts, designs and literary works;

c. projects such as uncritical compilations and purely descriptive catalogues or editions that do not involve original research;

d. production of teaching materials, even though some research may be involved in their production;

e. compilation of data, unless this is an integral part of the project which is judged to be necessary, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute;

f. 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;

g. 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 or outputs which:

   i. involve little innovation or are low risk; and /or

   ii. are, in the opinion of the ARC, mainly for the benefit, and align with the priorities or objectives, of the Partner Organisation; and

   iii. the ARC deems to be contracted research or a Consultancy arrangement; and

h. projects that, in the opinion of the ARC, do not significantly enhance links with organisations outside the publicly funded research and higher education sectors.

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

6.6 Number of Proposals and Funded Projects

6.6.1 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 numbers of projects permitted in 2010 (see subsection 6.6.2). For the purposes of applying these limits, the number of Proposals and ongoing research projects which are to be funded in 2010 on which a researcher is nominated are evaluated as at the closing time of submission of Proposals for the relevant round.

Submitting Proposals that exceed any or all of these limits may result in all Proposals involving the relevant researcher(s) not being recommended or approved for funding.

6.6.2 Specific limits on number of projects funded for 2010:

Limit type	**Limit description**
a. CI and APDI limit	CIs and APDI Fellows may participate at any point in time in up to four funded *Linkage Projects* projects which have ARC funding for project costs and/or APDIs (these four may or may not include APAI funding). CIs may also at any point in time participate in up to four funded *Linkage Projects* projects which have ARC funding only for APAIs.
b. PI limit	There is no limit on the number of concurrent projects for PIs.
c. Number of APDI nominations	A researcher may be nominated for a maximum of one APDI per *Linkage Projects* funding round.

6.6.3 For the purposes of the limits applying in 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 notified in the letter of offer of funding provided by the ARC. For example, if a project was originally funded for four years and funding is subsequently carried over to a fifth year, the project will still be considered for these purposes as funded for the original four years.

6.7 Duplication

6.7.1 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. Otherwise, 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.

6.7.2 A Proposal may not be submitted if it is essentially the same as an eligible Proposal submitted in the previous *Linkage Projects* funding 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, a similar Proposal which meets the eligibility and accountability requirements may be submitted in the immediately following round.

6.7.3 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 Proposals for approval.

7. Organisational Types, Roles and Eligibility

7.1 Eligible Organisations

7.1.1 A Proposal may be submitted only by an Eligible Organisation. Appendix C specifies Eligible Organisations for *Linkage Projects*.

7.1.2 APDI Fellowships offered under *Linkage Projects* may be undertaken at Eligible Organisations specified in Appendix C.

7.1.3 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 CI 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.

7.2 Partner Organisations

7.2.1 Each Proposal must identify at least one Partner Organisation which will be involved in the proposed project. Partner Organisation(s) must satisfy the requirements in Appendix E. Interaction with a Partner Organisation is required for the whole period of the project.

7.2.2 Information about the eligibility of Partner Organisations is set out in Appendix E, together with information about the required contributions and possible tax incentives for Partner Organisations.

7.2.3 Each Proposal must indicate agreed contributions from the Partner Organisation(s), and these contributions must meet the requirements specified in Appendix E. Applicants determine, in collaboration with the Partner Organisation(s), which types 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.

7.2.4 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 numbers. 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.

7.2.5 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.

7.2.6 Each Partner Organisation must certify within the Proposal:

a. that no part of its cash contribution is drawn from funds previously appropriated from government sources for the purposes of research, research evaluation and/or Consultancy activity; and

b. that the Partner Organisation has read and understood the requirements in the standard Funding Agreement about Partner Organisation agreements, including the requirement to enter into arrangements regarding intellectual property.

7.2.7 Proposals which fail to meet any of the requirements specified in Section 7.2 will not be recommended or approved for funding.

8. Roles and Eligibility for Researchers

8.1 Researcher Roles and General Eligibility

8.1.1 A Proposal must nominate at least one of the following roles that may be undertaken by researchers under *Linkage Projects*:

a. Chief Investigator (CI);

b. Partner Investigator (PI); or

c. Australian Postdoctoral Fellow (Industry) (APDI).

8.1.2 All CIs, PIs and APDI Fellows nominated on a Proposal must satisfy the eligibility criteria for the role they are to perform, as specified in Section 8 of these Funding Rules and if applicable the criterion at Section 9, of these Funding Rules.

8.1.3 The first-named researcher nominated on a Proposal who is a CI or APDI Fellow on a Proposal will be considered the 'Project Leader'.

8.1.4 If a Linkage Projects Proposal seeks support for an APAI stipend, the Proposal must identify at least one CI as supervisor for the student.

8.1.5 A researcher nominated as a CI, PI or APDI Fellow must take significant intellectual responsibility for the proposed project, 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.

8.1.6 At the time of the submission of a Proposal all obligations 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.

8.1.7 Subject to subsections 8.1.8 – 8.1.10, a CI or APDI Fellow must not be nominated in a Proposal, or involved in the project if successful, if her/his involvement would generate or represent a Conflict of Interest. A Conflict of Interest includes, among other things, a researcher:

a. having a substantial direct or indirect financial interest in any of the proposed Partner Organisations for the project; or

b. holding a position of Director, Board member, or other paid or unpaid senior management position in any of the proposed Partner Organisations for the project.

8.1.8 If a Conflict of Interest exists it may be possible for approval to be given in that particular case by the ARC for the relaxation of the criteria specified in subsection 8.1.7. Administering Organisations may seek this approval by:

a. submitting an Eligibility Exemption Request pursuant to the process outlined in Section 10.1. The Eligibility Exemption Request must contain supporting information describing the nature and details of the Conflict of Interest and how it will be managed throughout the life of the project. (Note: The conflict must still be declared in the Proposal even if an eligibility exemption has been granted by the ARC); or

b. identifying the Conflict of Interest in the Proposal and providing details regarding the nature of the conflict and how it will be managed throughout the life of the project.

8.1.9 In deciding whether to provide an eligibility exemption and/or relax the eligibility criteria specified in subsection 8.1.7, the ARC will consider whether, based on the material provided by the Administering Organisation in the Eligibility Exemption Request and/or in the Proposal, the circumstances are such that the Conflict of Interest, if managed effectively and proactively, would not be likely to compromise the integrity, management or outcomes of the project. For example, depending upon the circumstances of the case, it may be possible for the ARC to approve the relaxation of the eligibility criteria specified in subsection 8.1.7 if it considers that the parties will implement sufficiently robust practices which, in keeping with good corporate governance arrangements, provide for the declaration of conflicts and abstention of conflicted parties from decisions impacting on the research/project.

8.1.10 The Eligibility Exemption Request and/or Proposal must contain all the information necessary for the ARC to assess the issue of Conflict of Interest without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC. Notwithstanding the disclosure of any Conflicts of Interest to the ARC, pursuant to subsection 4.8.3 the Administering Organisation is required to disclose to any other participating organisations (including Partner Organisations) any Conflict of Interest which has the potential to influence, or appear to influence, the research and activities associated with the Proposal.

8.1.11 If the ARC considers that a researcher nominated in a Proposal as a CI, PI or APDI Fellow does not meet the eligibility criteria in Section 8.1 or Sections 8.3, 8.4 or 8.5 for the role which that researcher is to perform, the Proposal will not be recommended or approved for funding.

8.2 Early Career Researchers

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

8.3 Eligibility Criteria for Chief Investigators

8.3.1 To be eligible to be a CI, a person must meet the criteria stipulated in Section 8.3 and subsections 8.1.5, 8.1.6 and 8.1.7.

8.3.2 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at 1 January 2010, (for Round 1 Proposals), or as at 1 July 2010 (for Round 2 Proposals), and for the full term of her/his participation in the project:

a. be an employee of an Eligible Organisation listed in Appendix C for at least 50 per cent (0.5 Full Time Equivalent) of her/his time; or

b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation listed in Appendix C who does not have a substantive position or paid appointment elsewhere.

8.3.3 He/she must reside predominantly in Australia for the full term of her/his participation in the project. If the person does not have permanent resident status he/she must obtain temporary or permanent resident status from the Department of Immigration and Citizenship before he/she may commence on the project.

8.3.4 A CI must not receive any Earnings from ARC funding for the project (subject to Section 4.7).

8.3.5 Notwithstanding a researcher’s eligibility under the criteria in Section 8.3, a researcher undertaking undergraduate or postgraduate studies is not eligible to be a CI, unless the researcher’s undergraduate or postgraduate studies lie outside the scope and area of the research proposed in the Proposal.

8.3.6 If a Proposal has been approved for funding and a CI is at any time during the project no longer able to work as proposed on the project, the project may be continued under a replacement CI provided that:

a. approval is obtained from the Minister for the change in CI;

b. where the CI was the Project Leader, another investigator who was an original investigator on the Proposal may become the Project Leader provided that the investigator meets the CI eligibility criteria; and

c. to be eligible to be a CI, a person must meet the criteria stipulated in Section 8.3 and subsections 8.1.5, 8.1.6 and 8.1.7.

8.3.7 The project may be terminated where there are no other original investigators remaining on the Proposal.

8.4 Eligibility Criteria for Partner Investigators

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

a. not meet the eligibility criteria specified in Section 8.3 for a CI;

b. secure a significant contribution of cash, or in-kind or other resources from the researcher's organisation for the proposed project (having regard to the total cost of the project and the relative contribution of other investigators);

c. not receive salary support from ARC funding for the project, unless approved as a Linkage Industry Fellow (see Section 4.7); and

d. take significant intellectual responsibility as outlined in subsection 8.1.5.

8.4.2 A PI may act as a supervisor for an APAI in conjunction with a CI who is also involved in the proposed project.

8.4.3 If a Proposal has been approved for funding and any or all PIs are at any time during the project no longer able to work as proposed on the project, the project may be continued with a replacement PI(s) provided that:

a. approval is obtained from the Minister for the change in PI; and

b. the replacement PI(s) must meet the eligibility criteria specified in subsections 8.4.1.a – 8.4.1.d at the time of her/his nomination and for the full term of her/his participation in the project.

8.5 General Eligibility Criteria for Australian Postdoctoral Fellowships (Industry)

8.5.1 APDI Fellowship candidates must meet the criteria for CIs in subsection 8.3.2, plus the eligibility criteria for the APDI Fellows specified in subsections 8.1.5, 8.1.6, and 8.1.7.

8.5.2 APDI Fellowship candidates must:

a. have been awarded a PhD not more than three years before the closing time for submission of Proposals for the relevant round, or has obtained approval from the ARC, via the submission of an Eligibility Exemption Request as outlined in Section 10.1, for the recognition of an equivalent research degree or experience and/or relaxation of the qualification and/or timing requirements; or

b. the Fellowship candidate has not yet submitted a PhD thesis but is expected to do so, in which case the ARC will require official confirmation that the thesis has been submitted by 31 December 2009 (for Round 1 Proposals) and 30 June 2010

(for Round 2 Proposals). An APDI Fellowship cannot be commenced until formal advice is received by the ARC that the PhD has been awarded within a maximum time limit of six months of the thesis submission date. If these conditions have not been satisfied, the offer of funding for the Proposal may be withdrawn and the Funding Agreement may be terminated; and

c. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request as outlined in Section 10.1, for the:

   i. recognition of an equivalent research degree or experience; and/or

   ii. relaxation of the qualification and/or timing requirements.

8.5.3 The Eligibility Exemption Request must contain supporting information justifying the Fellowship candidate's special circumstances for an eligibility exemption, including information indicating that the candidate's research degree/experience is equivalent to a PhD obtained within the time limits specified and/or a case justifying the relaxation of the timing requirements in terms of issues such as, but not limited to, research career interruption, non-research employment, misadventure or carer responsibilities. Exemptions may be given by the ARC only if the exemption has been sought in accordance with the process described in Section 10.1.

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

8.5.5 In addition, APDI candidates must:

a. not have previously been awarded any other ARC Fellowship;

b. make a full-time commitment to ARC-funded projects, other than circumstances where these Funding Rules (e.g. Section 6.6) or other ARC funding rules make provision for an APDI Fellow to participate in additional ARC-funded projects; and

c. ensure that their involvement in the proposed project does not generate or represent a Conflict of Interest (see subsections 8.1.7 – 8.1.10 regarding the circumstances where conflicts may arise and the potential for exemptions/relaxation of this requirement to be granted by the ARC).

8.5.6 A researcher who has held an Indigenous Researcher Fellowship (IRF) may be nominated for an APDI only during or after the final year of her/his IRF.

8.5.7 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 offer of funding for the project involving the proposed APDI Fellow may be withdrawn or the Funding Agreement may be terminated.

8.5.8 Unless otherwise specified in these Funding Rules, Proposals requesting a Fellowship must be made on the basis that the Fellow's research will be carried out on a full-time basis only. Nevertheless, if a Fellowship Proposal is successful the Fellow may, during the term of the Fellowship, and subject to the agreement of the Partner Organisations, request approval from the ARC for conversion of the Fellowship to part-time status for periods of time. The ARC may, in its absolute discretion, approve the conversion of the Fellowship to part-time status for one or more periods of time.

8.5.9 Funding for Fellows undertaking research which forms a part of a Commonwealth-funded Research Centre's research activities will be limited to the provision of support for salary plus on-costs as specified in Appendix D, Section D1. Project costs must be paid for by the centre. Proposals requesting such Fellowships must contain a letter from the Centre Director confirming that the Fellow, if successful, will have

her/his research costs funded by the Centre for research on the proposed project. If the Proposal does not contain this confirmation, then the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

8.5.10 Proposals involving existing and proposed Fellowships at a Commonwealth-funded Research Centre should have regard to Section 9.3.

8.5.11 Further information on entitlements for APDI Fellows is set out in Appendix H.

9. Cross-scheme Issues

9.1 Cross-scheme Eligibility

9.1.1 If a researcher nominated as a CI, PI or APDI Fellow on a Proposal is named in a funding request for any proposed research project (including fellowship, salary or equipment) that has been submitted or approved under this or any other ARC scheme or to any other Commonwealth funding body, the Proposal must contain details of the request and summary details of all other funding. If these processes are not observed, or the ARC determines that incomplete, misleading or inaccurate details were included in the Proposal, the ARC may in its absolute discretion decide to not recommend the *Linkage Projects* Proposal for approval.

9.1.2 If a nominated researcher has been awarded, or is currently requesting, an ARC Fellowship under another ARC scheme, the Proposal must contain details of the project/Proposal/ARC Fellowship. If more than one of these Fellowship requests is approved for funding, only one Fellowship can be accepted.

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

9.2 Cross-scheme Funding

The ARC will not duplicate financial assistance for research already funded by the Commonwealth or which is likely to be funded from other Commonwealth funding sources (including under other ARC funding schemes). The ARC reserves the right to determine if a Proposal duplicates or is likely to duplicate research being funded by another Commonwealth source. In such circumstances the ARC may in its absolute discretion decide to not recommend the Proposal for approval. However, if the ARC considers that parts of the proposed project remain worthy of support, the ARC may assess the Proposal in the usual way and the ARC may instead recommend that a reduced amount of funding be approved for the Proposal.

9.3 Researchers from Commonwealth-funded Research Centres

9.3.1 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 must not duplicate work that, in the opinion of the ARC, is, will be or could reasonably be expected to be, undertaken by a Commonwealth-funded Research Centre.

9.3.2 <u>Letter showing association between the Proposal and a Commonwealth-funded Research Centre</u>

If a CI or APDI Fellowship candidate is associated with a Commonwealth-funded Research Centre, and the person will continue to be associated with the Centre after

31 December 2009 (for Round 1 Proposals) and 30 June 2010 (for Round 2 Proposals), the Proposal must include a letter from the Centre Director which:

a. describes the relationship between the proposed research and the research undertaken by the Centre; and

b. for CIs explains how, and explicitly states that, the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by the Centre; and

c. for Fellows confirms that her/his project costs will be funded by the Centre; and

d. provides details regarding the future of the Centre's research activities and the employment circumstances of the CI or Fellowship candidate if Commonwealth funding for the Centre is likely, or is due, to terminate during the 2010 calendar year.

9.3.3 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.

9.3.4 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 incomplete, inaccurate, or misleading in a material respect, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

9.3.5 Subsection 8.5.9 provides further details on the requirements for statements pertaining to Fellowships proposed to be held by researchers at Commonwealth-funded Research Centres which may need to be included in the letter from the Centre Director.

9.4 Funding of Medical and Dental Research

9.4.1 Pursuant to subsection 6.5.1.a and Section 9.4, the ARC does not fund Medical and Dental Research under *Linkage Projects*. The ARC reserves the right to determine conclusively whether the proposed research involves Medical and Dental Research.

9.4.2 Notwithstanding subsection 9.4.1 and Section 6.5, a Proposal which focuses on the development of novel materials, technologies, tools and other innovative applications may be recommended and approved for funding if, in the opinion of the ARC, the Proposal has demonstrated that the expected outcomes are likely to have significant relevance or application beyond the medical and dental context.

9.4.3 The ARC reserves the right to determine at its absolute discretion conclusively whether:

a. proposed research involves Medical and Dental Research; and

b. the expected outcomes of a proposed project are likely to have significant relevance or application beyond the medical and dental context.

9.4.4 The NHMRC funds a range of Medical and Dental Research. In cases where it is not clear to the intending Administering Organisation whether or not a Proposal would fall within this area of research, an Eligibility Advice Request may be submitted to the ARC. The ARC may use the Eligibility Advice Request to decide whether it would be willing to accept a Proposal involving the proposed research. For the purpose of determining a decision in relation to proposed research the ARC may, but is under no obligation to, refer Eligibility Advice Requests to the NHMRC. The intending Administering Organisation will be advised of the ARC's decision approximately two weeks after the due date for such requests.

9.4.5 If the Administering Organisation submits, or is intending to submit, Proposals to the ARC and the NHMRC for similar research it must cross-reference the Proposals and must declare the dual submission on the ARC application form.

10. Application Process

10.1 Eligibility Exemption and Eligibility Advice

10.1.1 These Funding Rules describe a number of situations where it is possible to submit an Eligibility Exemption Request or an Eligibility Advice Request for the purposes of obtaining an exemption or advice from the ARC regarding a prospective Proposal. All such Requests must be submitted on the ARC Eligibility Exemption/Advice Request Form through the ARC online Research Management System (RMS), and subject to subsection 10.1.2, be received by the ARC by:

For requests regarding Proposals in Round 1: 5:00pm (AEST) Wednesday 15 April 2009

For requests regarding Proposals in Round 2: 5:00pm (AEDT) Wednesday 14 October 2009

10.1.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late Eligibility Exemption/Advice Requests.

10.1.3 An exemption from the eligibility requirements may be granted only if an Eligibility Exemption Request has been submitted.

10.1.4 Eligibility Advice may be provided by the ARC only upon receipt of an Eligibility Advice Request. Eligibility Advice, however, does not constitute an exemption from the eligibility requirements. Rather it provides an indication to potential Applicants about the likelihood of a Proposal satisfying certain requirements.

10.1.5 Eligibility Exemption or Advice Requests must include all relevant supporting documentation. The Research Office will be advised of the outcome of any such request as soon as possible. If an Eligibility Exemption or Advice is given, the ARC will provide an identifying number for the exemption/advice which is to be quoted on the relevant Proposal.

10.1.6 Administering Organisations must submit ARC Eligibility Exemption/Advice Request Forms via the ARC online RMS.

10.2 Proposals

10.2.1 A Proposal should be submitted as a mature research plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC, including its College of Experts.

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

10.2.3 In submitting a Proposal, the Administering Organisation and the CI, PI and APDI Fellows nominated in the Proposal are consenting to the Proposal being assessed under the ARC peer assessment procedures and agree to the release of the Proposal to third parties for assessment purposes.

11. Submission of Proposals

11.1 Submission of Proposals in RMS

Administering Organisations must submit Proposals through the ARC on-line Research Management System (RMS) unless otherwise advised.

11.2 Proposal Content

Proposals consist of an on-line form, which must be completed and submitted in the RMS, accessible via the ARC Web Site. The RMS on-line form may include the following additional text which, if included, must be attached in PDF format to the on-line version of the Proposal:

a. ‘Research record relative to opportunities’;

b. ‘Justification of funding requested from the ARC’ and ‘Partner Organisations’ and ‘Details of non-ARC contributions’;

c. ‘Description of proposed project’; and

d. If applicable, supporting documentation:

   i. ‘Statements on progress of ARC-funded projects’;

   ii. For Mentors and Supervisors, a summary of the nature and level of support that they will provide;

   iii. For Fellowship requests, details of the Fellowship candidate's proposed contribution to the project and the research environment of the Host Organisation;

e. Certification by and letters of support from Partner Organisations involved in the Proposal; and

f. Disclosure of Conflicts of Interest.

11.3 Format in RMS

11.3.1 All documents must be written in English and must comply strictly with the format, content and submission requirements as specified in these Funding Rules and the “*Linkage Projects Instructions to Applicants for Funding Commencing in 2010*” document issued by the ARC. If a Proposal fails to meet any format, content or submission requirements, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

11.3.2 All pages of additional text must be uploaded in PDF format. Text must be in black type, use a single column and 12-point font size, with all margins being at least 2 cm. A highly legible font type must be used, such as 12 point Times New Roman, Arial, Courier, Palatino, and Helvetica subject to their being equivalent to Times New Roman 12 point font. Variants such as mathematical typesetting languages may also be used. References may be reproduced in 10-point font size. Colour graphs or colour photographs should not be included as they will be reproduced in black and white and the reproduction quality may not be optimal. Finely detailed graphics and grey scale may also not be precisely reproduced. Additional text attachments may appear slightly reduced in size due to the RMS system formatting the attachments to include page numbers. Attached PDFs should be directly generated rather than scanned to maximise the quality of reproduction.

11.4 How to Complete and Submit a Proposal in RMS

11.4.1 Administering Organisations must use the on-line form within the RMS, accessible via the ARC Web Site.

11.4.2 A "*Linkage Projects Instructions to Applicants for Funding Commencing in 2010*" document will be available from the ARC Web Site. This document specifies a range of requirements for Proposals and also assists parties in preparing Proposals.

11.4.3 Research Offices have access to the RMS and will approve User account requests, along with the ARC, to enable researchers at their organisations to access the RMS and prepare Proposals. If a researcher has previously been allocated access to GAMS, her/his User identification should be current within the RMS. However, the User will be required by the RMS to reset their password.

11.4.4 If a researcher does not have a Research Office or equivalent unit, he/she should email **rms@arc.gov.au** at the ARC for assistance.

11.5 Closing Time for Proposals in RMS

11.5.1 The on-line form completed using the RMS, must be submitted by:

a. for Proposals in Round 1: **5.00 pm (AEST) Wednesday 13 May 2009**; and

b. for Proposals in Round 2: **5.00 pm (AEDT) Wednesday 18 November 2009**.

11.5.2 Proposals may be withdrawn but additions, deletions and modifications will not be accepted after the closing date for submissions in RMS, unless invited by the ARC.

11.5.3 Applicants should note that Administering Organisations may have internal closing times, for each submission round which precede ARC closing times.

11.6 Certification in RMS

11.6.1 The Administering Organisation must certify Proposals on-line in the RMS. Research Offices should ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals for their organisation.

11.6.2 Proposals submitted through RMS must include signed certifications from all Partner Organisations involved in the Proposal. The signed certifications must be uploaded into the Proposal as PDFs in accordance with the "*Linkage Projects Instructions to Applicants for Funding Commencing in 2010*".

11.6.3 The Administering Organisation must obtain the agreement of all parties necessary to allow the proposed project to proceed using the form available on the ARC Web Site "*Linkage Projects Certification Form*". These signed certifications must be attested to by hand-written signatures and certifications from all relevant persons and organisations involved in the Proposal and must be able to be provided if requested by the ARC. This form does not need to be submitted via RMS with the Proposal but must be provided to the ARC if requested. If the Administering Organisation fails to provide this material upon request, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

11.6.4 A Proposal must be submitted through the appropriate Research Office. If a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification, the Proposal will be recommended not to be approved for funding.

12. Selection and Approval Process

12.1 Assessment and Selection Process

12.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations solely on the basis of its expertise, and which may:

a. consider if a Proposal satisfies the eligibility criteria set out in these Funding Rules;

b. identify and consider any other matters that these Funding Rules state may result in the ARC recommending that a Proposal not be approved for funding;

c. assign assessors to review Proposals;

d. seek comments on assessors' reports from the parties involved in the Proposal;

e. short-list Proposals and interview representatives of the Applicants for those short-listed Proposals;

f. rank each Proposal relative to the others on the basis of the Proposal, any assessors' reports, and any response to those assessment reports;

g. assess and recommend the amount of funding to be made available for a Proposal; and/or

h. prepare funding recommendations.

12.1.2 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 staff, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.

12.1.3 In addition to assessment by the ARC, a Proposal may at the ARC's absolute discretion be assessed by external assessors. Assessors may be drawn from a range of organisations to reduce the potential for Conflicts of Interest. Proposals will be assessed against the criteria set out in these Funding Rules and the reports by the assessors may include written comment.

12.1.4 Proposals requesting $500,000 or more for any year from the ARC (Large *Linkage Projects*) may be subjected to additional assessment to assist the ARC in its deliberations. This assessment may include short-listing (within the group of Large *Linkage Projects* proposals) and the conduct of a structured interview with representatives of the research team of the short-listed applicants.

12.1.5 Interviews may be held in Canberra or at another place nominated by the ARC. The ARC will endeavour to provide as much notice as possible of an invitation to attend an interview. Interviews are expected to be held during August 2009 (for Round 1 Proposals) and March 2010 (for Round 2 Proposals). The ARC will determine the structure of interviews and will not fund interviewee participation in interviews.

12.1.6 Interviewees are expected to include at least the nominated project leader and a representative of the nominated Partner Organisation(s) and to have the capacity to cogently address issues relating to the proposed project and budget.

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

12.1.8 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal on a "Request not

to Assess" form available from the ARC Web Site. Such notifications must contain detailed justification and be submitted using the "Request not to Assess" form through the Administering Organisation's Research Office. This notification must not accompany the Proposal. The notification must be sent to the address advised under 'Contacts' at the beginning of these Funding Rules and received by the ARC by the closing time for Proposals for the relevant round, **5:00 pm (AEST), Wednesday 13 May 2009 (for Round 1 Proposals) and 5:00 pm (AEDT), Wednesday 18 November 2009 (for Round 2 Proposals)**.

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

12.2 Rejoinder

12.2.1 Assessors' written comments, if obtained, may be provided to allow the opportunity for a rejoinder to the comments. Names of assessors are not provided. At the same time, the ARC may add questions to the material sent for rejoinder. A period of up to 2 weeks is given to submit a rejoinder to the ARC. Subject to subsection 12.2.2, 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 RMS.

12.2.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late rejoinders.

12.3 Recommendations and Offer of Funding

12.3.1 The ARC's recommendations will be submitted in accordance with the ARC Act to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of financial assistance to be paid to Administering Organisations for approved Proposals.

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

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

12.4 Exclusion of Proposals

12.4.1 The ARC will not recommend for approval, and the Minister will not approve for funding, any Proposal that fails to satisfy the eligibility criteria set out in these Funding Rules, including:

a. if the Proposal seeks funding for any of the items not permitted under Sections 6.4 or 6.5 and the ARC considers no other part of the proposed project remains worthy of support (subsection 6.5.2);

b. if the Proposal seeks salary funding for a CI or PI other than in relation to permitted salary costs associated with a LIF (subsection 6.4.2.b);

c. if the Proposal is not submitted by an Eligible Organisation (Section 7.1);

d. if the Proposal does not nominate at least one CI or APDI, candidate (subsection 8.1.1);

e. 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 Sections 8.3, 8.4 or 8.5 for the role which that researcher is to perform (subsection 8.1.11);

f. if the Proposal does not meet the requirements for involvement by or contributions from Partner Organisations or if the ARC considers that a Partner Organisation listed on the Proposal does not meet the eligibility requirements for a Partner Organisation (Section 7.2 and Appendix E);

g. if the ARC determines that a proposed project falls within the area of Medical and Dental Research (subsection 6.5.1.a and Section 9.4);

h. if a Proposal has not been submitted in RMS (subsection 11.6.4) through the appropriate Research Office/Chief Executive Officer for certification ; and

i. if the Proposal is not for a program of research, or a program that supports the conduct of a program of research.

12.4.2 The ARC may in its absolute discretion decide to not 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 8.1.6);

b. in the opinion of the ARC, any party involved in or associated with the Proposal or ARC-funded research project has failed to disclose to the ARC, or any other parties involved in the Proposal, any Conflict of Interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Proposal (subsection 4.8.2);

c. the Proposal seeks funding which is less than the minimum amount or more than the maximum amount of funding allowed (subsection 6.1.2);

d. the limits on the number of Proposals and projects permissible are exceeded (subsection 6.6.2);

e. the ARC considers that separate Proposals are submitted in the same funding round seeking project funding for separate components of essentially the same project (subsection 6.7.3);

f. the ARC considers that the Proposal is for essentially the same project as an eligible Proposal submitted in the previous *Linkage Projects* funding round (subsection 6.7.2);

g. 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 6.7.1);

h. where required the Proposal does not include a required letter from a Centre Director or Partner Organisation; (subsections 7.2.5 and 9.3.2);

i. in the opinion of the ARC, the Proposal duplicates or is likely to duplicate research already being funded, or which is likely to be funded, by the Commonwealth (subsections 9.2 and 9.3.1);

j. where required the Proposal does not include details of other funding or funding requests (subsection 9.1.1);

k. the ARC considers incomplete, inaccurate, or misleading material has been provided in relation to the Proposal or if the Administering Organisation and/or researchers nominated in the Proposal have provided the ARC with incomplete, inaccurate or misleading information in relation to the provision of advice relating to, or in the reporting of progress of, a funded project (subsections 9.1.1, 9.3.4 and Appendix A subsections A8.2 and A8.3);

l. when requested, the Administering Organisation fails to provide the signed certifications and agreements of all parties necessary to allow the proposed project to proceed (subsection 11.6);

m. if the on-line part of the Proposals is not submitted via RMS (subsections 11.4 and 11.6) by the closing time for the relevant round (subsection 11.5);

n. the circumstances of a Proposal are such that an eligibility exemption or advice is required but the required process has not been followed (subsection 10.1); or

o. the Proposal fails to meet any format and other submission requirements for Proposals submitted through RMS (subsection 11.3).

13 Appeals Process

13.1 Appeals will be considered only against administrative process issues and not, for example, against committee recommendations or assessor ratings and comments.

13.2 Appeals must be made on the appeals form available from the ARC Web Site. 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 within 28 days of the date on the letter notifying the outcome of Proposals.

13.3 Appeals must be addressed and sent to the address advised under ‘Contacts’ at the beginning of these Funding Rules.

Appendix A – Fundamental Principles and Requirements

A1 Ethics and Research Practices

A1.1 The 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 must, unless otherwise approved by the ARC, conform to the principles outlined in the following and their successor documents:

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

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

c. as applicable, codes on animal research promulgated by the NHMRC.

A1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

A2 Acknowledging ARC Support

A2.1 The Funding Agreement requires that any ARC contribution to research and other activities funded by the ARC be appropriately acknowledged. When, at any time during or after completion of a project, the researcher or any other party publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the research project, the Administering Organisation must ensure (wherever possible) that the ARC's contribution and support of the project is acknowledged in a prominent place and in an appropriate form. This acknowledgement should include the mention of the ARC as a funding body. Similar efforts should be made to acknowledge ARC support when participating in television and radio programs, when interviewed by the print media and when otherwise speaking publicly about the project.

A2.2 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC Web Site.

A3 Dissemination of Research Outputs

A3.1 The Australian Government makes a major investment in research to support its essential role in improving the wellbeing of our society. To maximise the benefits from research, findings need to be disseminated as broadly as possible to allow access by other researchers and the wider community.

A3.2 The ARC acknowledges that researchers take into account a wide range of factors in deciding on the best outlets for publications arising from their research. Such considerations include the status and reputation of a journal or publisher, the peer review process of evaluating their research outputs, access by other stakeholders to their work, the likely impact of their work on users of research and the further dissemination and production of knowledge. Taking heed of these considerations, the ARC endeavours to ensure the widest possible dissemination of the research supported under its funding, in the most effective manner and at the earliest opportunity.

A3.3 The ARC therefore encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository. If a researcher is not intending to deposit the data from a project in a repository within six months of the completion of the research, he/she should include the reasons in the project's Final Report. Any research outputs that

have been or will be deposited in appropriate repositories should be identified in the Final Report.

A4 Applicable Law

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

A5 Confidentiality

A5.1 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 the ARC *Linkage Projects* scheme 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.

A5.2 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.

A5.3 Notwithstanding the above, and in addition to the exemptions listed at Appendix A subsection A5.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of the 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 (including the national/community benefits that are expected to arise from the research); and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

A6 Project Description

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.

A7 Intellectual Property

A7.1 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 ARC *Linkage Projects* scheme.

A7.2 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.

A7.3 If a Proposal contains information belonging to a third party, the Administering Organisation must ensure that it has in place all necessary consents to allow the ARC to deal with that information in accordance with these Funding Rules, prior to the Administering Organisation submitting its Proposal.

A7.4 Except with written approval from the ARC, all Proposals and ARC-funded research projects must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC Web Site) and accord with any intellectual property policies of the researcher's organisations.

A8 Incomplete or Misleading Information

A8.1 It is a serious offence to provide false or misleading information to the Commonwealth.

A8.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

A8.3 If an Administering Organisation and/or the researcher nominated in a Proposal has provided the ARC with incomplete, inaccurate or misleading information in relation to any Proposal for, or in the provision of advice relating to, or reporting of progress of, a project funded by the Commonwealth, the ARC may in its absolute discretion decide to not recommend the Proposal for approval and/or terminate projects involving that organisation/person if funded and require the Administering Organisation to repay some or all of the funding.

A8.4 If the ARC considers that omissions, or inclusion of misleading information, are intentional, or if there is evidence of misconduct, the ARC may refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.

A8.5 Examples of misleading information and misconduct are, but are not restricted to:

a. providing fictitious track records;

b. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted); or

c. failing to disclose to the ARC the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/project (such as

any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the project).

A9 Insurance and Liabilities

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

Appendix B – Administration of Funding

B1 Funding Agreement

B1.1 All parties involved in a Proposal should familiarise themselves with the draft Funding Agreement, but only the Administering Organisation and the ARC will be parties to the Funding Agreement. Parties involved in a funded project must accept the terms of the Funding Agreement and the Administering Organisation must sign the Funding Agreement before the ARC will commence payments.

B1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of the Funding Agreement.

B1.3 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.

B2 Varying the Funding Agreement

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. Amendment of any clauses of the Funding Agreement will be at the ARC's absolute discretion.

B3 Varying the Funding Approval

B3.1 Requests to vary the funding approval must be forwarded in writing by the Administering Organisation's Research Office to the ARC.

B3.2 The funding approval may be varied in regard to the amount of financial assistance, the period of financial assistance, and/or the name of the organisation receiving financial assistance.

B3.3 The Minister may vary the funding approval if:

a. any of the organisations involved in the project end, or substantially change, their involvement with the project;

b. the research project changes so that it is no longer consistent with the description in the funding approval as previously approved or as otherwise varied;

c. the desirable period of funding for a project is not consistent with the period in the funding approval as previously approved or as otherwise varied;

d. the person nominated in the funding approval as the person leading the research project, or any such replacement person approved by the Minister, ceases to lead the project; and/or

e. 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 ARC *Linkage Projects* scheme objectives.

B4 Reports

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.

Appendix C – Eligible Organisations

C1 Higher Education Organisations Eligible to Submit Proposals

New South Wales
Charles Sturt University
Macquarie University
Southern Cross University
The University of New England
The University of New South Wales
The University of Newcastle
The University of Sydney
University of Technology, Sydney
University of Western Sydney
University of Wollongong

Victoria
Deakin University
La Trobe University
Melbourne College of Divinity
Monash University
Royal Melbourne Institute of Technology (RMIT University)
Swinburne University of Technology
The University of Melbourne
University of Ballarat
Victoria University

Queensland
Bond University
Central Queensland University
Griffith University
James Cook University
Queensland University of Technology
The University of Queensland
The University of the Sunshine Coast
University of Southern Queensland

Western Australia
Curtin University of Technology
Edith Cowan University
Murdoch University
The University of Notre Dame Australia
The University of Western Australia

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

Tasmania
University of Tasmania

Northern Territory
Charles Darwin University
Batchelor Institute of Indigenous Tertiary Education

Australian Capital Territory
The Australian National University
University of Canberra

Multi-State
Australian Catholic University

C2 Other Organisation Eligible to Submit Proposals

Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)

Appendix D – Notional APDI Fellowship salary, APAI stipend and other allowances

D1 APDI Fellowship Salary

D1.1 Notional* APDI Fellowship Salary for Funding Commencing in 2010

* The figures in the table below are based on the 2009 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the ARC Web Site at www.arc.gov.au/applicants/salaries.htm.

Fellowship	Salary	On-costs 28%	Total (2009 levels)
Australian Postdoctoral Fellowship (Industry) (APDI)	$62,642	$17,540	$80,182

D1.2 Maximum APDI Fellowship Relocation Allowances

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

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

D2 Notional Teaching Relief or Other Duties Contribution (if approved)

If relief for teaching or other duties is approved for a Proposal, the funding contribution for teaching relief is limited to a maximum rate of $65,944 per annum (2009 rate) (or pro rata) per CI (regardless of the level of appointment of the CI) and will be a Special Condition.

The ARC may fund justified teaching relief for CIs for a maximum period of up to half of the life of the project.

D3 APAI Stipend

D3.1 APAI and APAI-IT PhD or Masters Students – Stipend Rate

	Full Year	Half Year
APAI or APAI-IT	$26,669	$13,335

Note: annual stipend rate to be paid to a student by the Administering Organisation

Full-time	$26,669 (tax free)
Part-time	$14,566 (part-time stipends are taxable)

D3.2 APAI Relocation and Thesis Allowance Rates

	Maximum Allowance	Description
Relocation (including dependents)	$6,000	(a) Removal expenses: - $505 per adult; and - $255 per child up to a maximum of $1,520; and (b) Travel expenses: (one way to commence work on a project) - $equivalent of economy or student concession airfares.
Thesis allowance - PhD	$840	Reimbursement through submission of invoice to ARC
Thesis allowance - Masters	$420	Reimbursement through submission of invoice to ARC

Appendix E – Partner Organisations

E1 General Eligibility

E1.1 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, research evaluation and/or Consultancy.

E1.2 Notwithstanding the above, the following organisations and types of organisation are not eligible as Partner Organisations under *Linkage Projects*:

a. Australian higher education organisations and their controlled entities, including their commercial arms;

b. any Australian organisation which in the ARC's opinion is associated with a higher education organisation and which in the ARC's opinion 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;

f. the Defence Science and Technology Organisation;

g. the Australian Nuclear Science and Technology Organisation;

h. the Commonwealth Scientific and Industrial Research Organisation;

i. Geoscience Australia;

j. the Australian Institute of Marine Science;

k. the Institute of Advanced Studies (IAS) at the Australian National University;

l. the Environmental Research Institute of the Supervising Scientist;

m. the Australian Antarctic Division;

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; and

o. any organisation, which in the opinion of the ARC, receives substantial funding from State, Territory or Commonwealth Government sources or from Governments of other countries and the ARC considers such funding is provided mainly for research or research-related activities.

E1.3 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 eligibility status of the organisation by means of the submission of an Eligibility Exemption/Advice Request to the ARC pursuant to the process specified in Section 10.1. The request must include information where relevant concerning the proposed Partner Organisation's activities and arrangements for the organisation's membership, ownership and control.

E1.4 In relation to organisations which receive substantial funding from State, Territory or Commonwealth Government sources or from Governments of other countries, an Eligibility Eligibility/Advice Request must include financial information such as a summary statement which might be included in an annual report and details regarding the sources from which the organisation receives funds, the amount it receives from such sources and the purposes for which it receives the funds.

E1.5 The Eligibility Exemption/Advice Request process assists in providing an intending Applicant with an indication about the likelihood that a proposed Proposal will satisfy the Partner Organisation eligibility requirements. The intending Administering Organisation will be advised of the ARC's decision approximately two weeks after the due date for such requests.

E1.6 In all cases, whether or not the above process is observed, the ARC reserves the right to decide whether a proposed Partner Organisation is an eligible Partner Organisation.

E2 Overseas Partner Organisation

E2.1 The ARC is prepared to accept an overseas organisation as a Partner Organisation if the organisation meets the eligibility criteria above. If a Proposal includes an overseas Partner Organisation, the Proposal must address the following additional criteria to the satisfaction of the ARC:

a. the economic, environmental or social benefit of the research to Australia; and

b. the intended use of the research outcomes in Australia.

E2.2 In addition to the requirements stipulated in E2.1, if an overseas higher education institution, or an entity closely associated with an overseas higher education organisation, is proposed as a Partner Organisation on a Proposal there must be at least one other Partner Organisation involved in the Proposal which is an Australian Partner Organisation which meets the eligibility requirements specified in Appendix E.

E2.3 If similar Proposals involving Australian and overseas Partner Organisation(s) are competing at the margin for funding, the ARC may give priority to Proposals which involve one or more Australian Partner Organisations.

E2.4 Partner Organisation contributions from overseas organisations must be specified in Australian dollars and, subject to these Funding Rules, contributed at the specified level regardless of currency fluctuations.

E3 Partner Organisation Contributions Requirements

E3.1 Proposals must meet the requirements for Partner Organisation contributions specified below. Only contributions directly relevant to the proposed project are taken into account as eligible Partner Organisation contributions. The ARC may make any adjustments it considers necessary to reflect what it considers to be the true value of the Partner Organisation Cash Contribution and in-kind contributions. The ARC reserves the right to determine the levels of Partner Organisation contributions which are taken into account as eligible Partner Organisation contributions and may

determine contributions to be at levels which may differ from those submitted in a Proposal.

E3.2 The entire contribution from each Partner Organisation (including the Partner Organisation Cash Contribution and any in-kind contribution) must be specific to the project and not part of a broader contribution to an Eligible Organisation. The required Partner Organisation contribution may be used, for example, to assist the project with personnel costs (excluding the salaries of CIs and Partner Organisation personnel), provision of equipment or the use of a laboratory. Costs of capital works and general infrastructure must not be included in the required Partner Organisation contribution. This does not, however, preclude Partner Organisations from contributing to capital works and general infrastructure costs and salaries of Partner Organisation personnel if that contribution is above the required Partner Organisation contribution.

E3.3 Guidelines to assist Administering Organisations and Partner Organisations in determining the value of in-kind contributions can be found at Appendix F.

E3.4 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 from the minimum cash requirements outlined below, <u>except for the minimum cash requirement associated with **APAI only** stipends (subsection E3.7)</u>. In such cases, the Applicant must submit an Eligibility Exemption Request for exemption according to the process described in Section 10.1. The request must quantify in detail the in-kind contributions and the Partner Organisation's commitment to providing it.

E3.5 If the Proposal is successful, Partner Organisation contributions (both the Partner Organisation Cash Contribution and in-kind contributions) must be reported by the Administering Organisation in its End-of-Year report.

<u>Minimum cash and in-kind contribution</u>

E3.6 Subject to subsection E3.4, an Eligibility Exemption Request may be submitted (Section 10.1) for an exemption from the Partner Organisation minimum cash requirement.

E3.7 If a Proposal is seeking funding for one or more **APAIs only** (ARC stipend funding only; project costs are not sought from the ARC) the combined minimum Partner Organisation cash contribution must be at least 20 per cent, and the combined minimum Partner Organisation in-kind contribution must be at least 20 per cent, of the total amount sought from the Commonwealth. The Partner Organisation contribution must be provided in support of each APAI for each year the APAI is requested.

E3.8 Subject to Subsection E3.7, the combined Partner Organisation contributions for a Proposal (i.e. the total cash contributions and/or in kind contributions of all Partner Organisations), as determined by the ARC, must at least match the total amount sought from the Commonwealth.

E3.9 Pursuant to Subsection E3.8, if a Proposal is seeking **less than $500,000 in each year** from the Commonwealth and is not an APAI only project (see E3.7), the combined Partner Organisation Cash Contributions must be at least 20 per cent of the total amount sought from the Commonwealth.

E3.10 Pursuant to Subsection E3.8, if a Proposal is seeking **$500,000 or more in any year** from the Commonwealth and is not an APAI only project (see E3.7), the combined Partner Organisation Cash Contributions must be at least 50 per cent of the total amount sought from the Commonwealth.

E4 Offer of Funding

E4.1 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 each of the Partner Organisations and the Administering Organisation have entered into a written agreement (the Partner Organisation Agreement) as required in the Funding Agreement.

E4.2 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. If the Partner Organisation agrees that the research project is viable within the parameters of the varied amount of Commonwealth funding, pro rata adjustments may be made to the proposed Partner Organisation project contributions.

E5 Eligibility for Concessional Treatment

E5.1 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.

E5.2 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).

E5.3 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 F – Guidelines for the Evaluation of the Adequacy of Partner Organisation In-kind Contributions

F1 Underlying Principles and Practical Considerations

F1.1 Appendix E 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.

F1.2 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.

F1.3 In-kind contributions that are shown to be essential and central to the conduct of the project are given full recognition in evaluating the total value of the contributions (cash and in-kind). 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. As a general rule, the value of in-kind contributions should reflect current market values.

F1.4 In-kind contributions to a project may include scientific liaison and management, direct technical support, or unique access to reagents or equipment.

F1.5 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.

F2 Guidelines for Recognising In-kind Budget Items in Partner Organisation Contributions

This list is not all-inclusive.

In-kind 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 - fair market value - company book value - price for internal transfers	List price or discounted list price Rental equivalents exceeding accepted values had the equipment been donated or sold
	Contributed - New - selling price to most favoured customer (if stock item) - cost of manufacture (if one of a kind) - cost of purchase	Development costs

In-kind Category	Accepted	Not Accepted
Equipment (continued)	Lent - rental equivalent based on depreciation - rental rate equivalent to highest-volume user	
	Sold - difference between discounted price and selling price to most favoured customer	
Materials	Unit cost of production for commercial products Selling price to most favoured customer Price for internal transfers Cost of production of prototype and samples	Development costs (unless they are an integral part of the proposed project)
Patents and licences	Licences acquired from third parties for use by the university in the project	Patents Licensing fees paid to the university
Contributions concerning the CI	Contribution to enable release of CIs from teaching or other duties	Contribution 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 Costs relating to administrative support where overhead has been included in salary costs
Contributed software (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 Licensing cost Documentation cost Cost of training and support of software Cost of equivalent commercial product (where donated software is not commercially available)	Development costs
Travel	Travel costs associated with fieldwork Travel costs to meet with university personnel & Partner Organisation staff Conference travel for university staff	
Use of facilities	Internal rates for logistical support and travel allowance for university personnel working on Partner Organisation premises or on fieldwork Internal rates for use of specialised equipment by university personnel or use of process or production lines Internal rates for value of lost production resulting from down time	Use of equipment by Partner Organisation personnel. Space for Partner Organisation activities outside the scope of the specific Proposal Equivalent commercial rates

Appendix G – Australian Postgraduate Award (Industry)

G1 Eligibility

G1.1 Proposals may include a request for funding for one or more Australian Postgraduate Awards (Industry) (APAIs) for postgraduate research students studying towards a Masters or PhD award. 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 that the student undertakes full-time study and the student is to begin her/his studies in the first year of the project.

G1.2 To be eligible to receive APAI funding, a student must:

a. be enrolled in a full-time postgraduate research degree at an Eligible Organisation;

b. have an appropriate Honours 1 or 2A (or equivalent) undergraduate degree;

c. not be receiving similar funding or stipend from any Commonwealth Government program;

d. not already have completed a degree at the same level as the proposed Commonwealth-supported candidature or at a higher level; and

e. not previously have held an Australian Postgraduate Award or APAI unless it was terminated within its first six months.

G1.3 The organisation where the student is enrolled may credit towards a degree periods of study already undertaken. If this occurs, the periods of study before the beginning of the APAI will be deducted from its maximum period of tenure/funding.

G1.4 The Administering Organisation must inform the ARC of any changes to an award that affect the amount or duration of funding.

G1.5 Subject to G1.2.d, 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.

G2 Entitlements from the Commonwealth for APAIs

G2.1 Details of APAI stipend rates for the current year are set out on the ARC's Web Site. Stipend rates are indexed annually.

G2.2 APAIs can be sought for up to three years. If the award is based on enrolment for a Masters degree, the ARC will allocate up to two years stipend only. If the award is based on enrolment for a PhD degree the ARC will allocate three years stipend, with a possible six-month extension. For a successful APAI request, the Commonwealth will pay the Administering Organisation:

a. an amount equal to 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.

G3 Relocation Allowance

The Administering Organisation will make payments up to the maximum amount specified on the ARC's Web Site for relocation costs for an APAI student who relocates 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. 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 $6,000 for all allowances combined, in accordance with the Funding Agreement.

G4 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.

G5 Taxation

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

G6 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 H – Australian Postdoctoral Fellowship (Industry) APDI

H1 Period

A successful APDI Fellow would be appointed by the Host Organisation for up to 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.

H2 Eligibility Requirements for APDIs and Exemption Process

Sections 8.5 and 10.1 of these Funding Rules specify the eligibility requirements for APDIs and the process for seeking an Eligibility Exemption/Advice Request.

H3 Relocation Allowance

H3.1 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. 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.

H3.2 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 her/his dependants. If 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; and

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 I – 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.

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. 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.

- **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.

- **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 programmes 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.

- **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. 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.

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.

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.

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 'info-tainment'. 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.

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.

This 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. 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.