



Australian Government

Australian Research Council

Linkage Projects Funding Rules for funding commencing in 2012 Variation (No. 1)

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* (the Act), approve, in accordance with section 61 of the Act, variation of the ARC *Linkage Projects Funding Rules* for funding commencing in 2012 in the manner set out in the attached Schedule.

Dated 19 April 2011

Kim Carr
Minister for Innovation, Industry, Science and Research

Schedule

The *Linkage Projects* Funding Rules for funding commencing in 2012 are varied in the manner set out below:

In this document replace

“14.3 Confidentiality

- 14.3.1 The ARC gives no undertaking to keep confidential any information provided in the Proposal except where required by law. The ARC may restrict access to the Proposal from parties not directly related to the Proposal.
- 14.3.2 The ARC will publicise and report offers or awards of funding, including information about the proposed research; the CIs, APDIs and PIs; 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 funding from the ARC. 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.”

with

“14.3 Confidentiality

- 14.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:
 - a. disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
 - b. disclosed to the ARC’s personnel to enable effective management or auditing of the ARC Linkage Projects scheme or any Funding Agreement;
 - c. disclosed by the ARC to the Minister;
 - d. shared by the ARC within the ARC’s organisation, or with another Commonwealth Department or agency, where this serves the Commonwealth’s legitimate interests;
 - e. authorised or required by law to be disclosed;
 - f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
 - g. in the public domain.
- 14.3.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.
- 14.3.3 Notwithstanding the above, and in addition to the exemptions listed at 14.3.1, 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).

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

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Key Dates

Round 1

Closing time for Eligibility Exemption Requests	5.00 pm (AEDT) Wednesday 30 March 2011
Closing time for submission of Proposals	5.00 pm (AEST) Wednesday 11 May 2011
Deadline for Request not to Assess	5.00 pm (AEST) Wednesday 11 May 2011
PhD award date to be eligible for a <i>Linkage Projects</i> APDI Fellowship	On or after 11 May 2008

Round 2

Closing time for Eligibility Exemption Requests	5.00 pm (AEST) Wednesday 28 September 2011
Closing time for submission of Proposals	5.00 pm (AEDT) Wednesday 16 November 2011
Deadline for Request not to Assess	5.00 pm (AEDT) Wednesday 16 November 2011
PhD award date to be eligible for a <i>Linkage Projects</i> APDI Fellowship	On or after 16 November 2008

Contacts

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

ARC Contacts:

by mail to:

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

by courier to:

Linkage Projects Coordinator
Australian Research Council
Level 2, 11 Lancaster Place
Majura Park
CANBERRA ACT 2609

Email: ARC-linkageprojects@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

by courier to:

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place
Majura Park
CANBERRA ACT 2609

Other:

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 2012 Variation (No. 1).

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 Project is approved for funding.

ARC means the Australian Research Council, as established under the ARC Act.

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

ARC Fellowship means a Fellowship position within any ARC scheme where the salary is funded wholly or partly by the ARC and where the researcher in that position was a named participant in a Proposal.

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 Fellow) means a researcher who satisfies the eligibility criteria for an APDI Fellow, whose salary is wholly or partly funded under an APDI Fellowship (under the *Linkage Projects* scheme).

Chief Investigator (CI) means a researcher named in the Proposal who satisfies the eligibility criteria for a Chief Investigator.

Commonwealth means the Commonwealth of Australia.

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).

Eligible Organisation means an organisation listed in Appendix A.

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

Funding Agreement means the agreement entered into by the ARC and an Administering Organisation that sets out the terms and conditions for the administration of Commonwealth funding and the conduct of the Project.

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 Eligible Organisation at which an APDI Fellow candidate undertakes her/his research.

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

In-kind Contribution means a contribution of goods, services, materials or time to the Project from an individual, business or organisation.

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

Medical and Dental Research means research and/or training which, in the opinion of the ARC, has a significant focus on near-term 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.

Other Eligible Organisation means an Eligible Organisation listed on a *Linkage Projects* Proposal which is not the Administering Organisation.

Other Organisation means an organisation which is listed in a *Linkage Projects* Proposal and is not an Eligible Organisation or a Partner Organisation.

Partner Investigator (PI) means a researcher named in the Proposal who satisfies the eligibility criteria for a Partner Investigator.

Partner Organisation means an organisation, other than an Eligible Organisation or Other Organisation, which is to be a cash and/or in-kind contributor to the Project and satisfies the eligibility requirements for a Partner Organisation.

Partner Organisation Cash Contribution means the cash funding from a Partner Organisation(s) which is transferred to and managed by the Administering Organisation.

Project means a project approved by the Minister to receive funding from the ARC.

Project Leader means the first-named CI or APDI Fellow on a Proposal.

Proposal means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.

Research Office means a business unit within an Eligible Organisation that is responsible for administrative contact with the ARC regarding Proposals and Projects.

RMS means the ARC's online Research Management System.

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

4. Introduction

4.1 Overview

4.1.1 These Funding Rules are current as at March 2011 and have been prepared in accordance with the requirements of the ARC Act in force then.

4.1.2 The *Linkage Projects* scheme provides funding to Eligible Organisations to support 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.

4.1.3 For the purposes of these Funding Rules, research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise [innovative] applications¹.

4.2 Linkage Projects

The objectives of the *Linkage Projects* scheme are to:

- a. encourage and develop long-term strategic research alliances between higher education organisations and other organisations, including 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. enhance the scale and focus of research in National Research Priorities;
- c. 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;
- d. provide outcome-oriented research training for high-calibre postgraduate research students; and
- e. produce a national pool of world-class researchers to meet the needs of the broader Australian innovation system.

4.3 Selection Criteria

Proposals will be assessed and ranked using the following selection criteria:

- a. Investigator(s) (20%)
 - research opportunity and performance evidence (ROPE); and
 - capacity to undertake and manage the proposed research.

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

- b. Proposed Project (50%) comprising
- i. 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?
 - will the proposed research provide economic, environmental and/or social benefit to Australia?
 - does the Project address National Research Priorities?
 - ii. Approach and Training (15%)
 - are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the Project?
 - where relevant, is the intellectual content and scale of the work proposed appropriate to a higher degree by research?
 - how appropriate is the proposed budget?
 - iii. Research Environment (10%)
 - is there an existing, or developing, supportive and high quality research environment for this Project?
 - are the necessary facilities to complete the Project available?
- c. Nature of the alliance and commitment from a Partner Organisation (30%)
- is there evidence that each of the Partner Organisation(s) is genuinely committed to, and prepared to collaborate in, the research Project?
 - will the proposed research encourage and develop strategic research alliances between the higher education organisation(s) and other organisation(s)?
 - value for money and budget justification for cash and in-kind contributions.

5. Funding

5.1 Level and Period of Funding

- 5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- 5.1.2 The minimum level of funding provided by the ARC under *Linkage Projects* is \$30,000 per year and the maximum is up to \$500,000 per year, or, in exceptional circumstances, up to \$2,000,000 per year where an outstanding case is made, including clear evidence of a very high level of commitment by the Partner Organisation(s).
- 5.1.3 A Project may be awarded funding for two to five consecutive years.
- 5.1.4 Funding for approved Projects will commence with effect 1 January 2012 (Round 1 Proposals) and 1 July 2012 (Round 2 Proposals), unless other arrangements are approved by the Minister. Funding is subject to indexation and updated salary levels will be available annually on the ARC website at www.arc.gov.au/applicants/salaries.htm.

5.2 Budget Items Supported

5.2.1 Budget items which directly support a research project may be funded, including:

- a. access to national and international research and infrastructure facilities;
- b. access to workshop services linked to and justified explicitly against the Project (e.g. machine tools and qualified technicians) available to each member of staff, according to need, for research;
- c. equipment;
- d. maintenance;
- e. personnel:
 - i. for example research associates and assistants, technicians and laboratory attendants. Salary support must be requested at an appropriate salary level, including 28 per cent on-costs, for the Administering Organisation;
 - ii. Australian Postdoctoral Fellowships (Industry) (APDI Fellow);
 - iii. Linkage Industry Fellowships (LIF);
- f. PhD stipends, at a minimum of \$27,651 (2011\$);
- g. relocation costs, for an APDI Fellow, in accordance with the policies of the Administering Organisation;
- h. travel costs:
 - i. economy, domestic and international travel for CIs and APDI Fellows and research support personnel associated with the Project, including to foster and strengthen collaborations between researchers in Australia and overseas;
 - ii. economy, domestic and international travel for PIs living overseas to travel to and from Australia, once per year, to work on the Project.

5.2.2 Publication and dissemination of Project outputs and outreach activity costs may be supported at up to two per cent of the total non-salary ARC funding awarded to the Project. The ARC strongly encourages publication in publicly accessible outlets and the depositing of data and any publications arising from a Project in an appropriate subject and/or institutional repository.

5.2.3 Teaching Relief may be requested:

- a. for up to two CIs, per Proposal;
- b. for up to six months, per CI, over the duration of a two or three year Project; or
- c. for up to 12 months, per CI, over the duration of a four or five year Project;
- d. for up to \$69,758 per year (2011\$) per CI, or pro rata for a lesser period, as a Special Condition.

5.3 Budget Items Not Supported

5.3.1 Budget items which will not be supported by ARC funding are:

- a. salaries and/or on-costs, in whole or in part, for CIs and PIs (excluding APDI and LIF);
- b. capital works and general infrastructure costs;
- c. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities for students; or

- d. costs not directly related to research, for example, visas, insurance, and mobile phones (purchase or call charges).

5.3.2 The following basic facilities must be provided and funded by the Administering Organisation:

- a. accommodation (e.g. laboratory and office, suitably equipped and furnished);
- b. access to film or music editing facilities;
- c. access to a basic library collection;
- d. standard reference materials;
- e. provision of office computers and basic computing facilities such as printers, word processing and other standard software; and
- f. use of photocopiers, telephones, mail, fax, email and internet services.

5.4 Research /Activities Not Supported

5.4.1 Except where such activities meet the definition of research at 4.1.3, the *Linkage Projects* scheme does not support production of:

- a. descriptive data compilations, catalogues or bibliographies;
- b. teaching materials; or
- c. compilation of data, computer programs, research aids and tools.

5.4.2 The *Linkage Projects* scheme does not support:

- a. projects where 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;
 - ii. are mainly for the benefit, and align with the priorities or objectives, of the Partner Organisation(s); and/or
 - iii. the ARC deems to be essentially contracted research or a consultancy arrangement.
- b. projects that do not significantly enhance links with organisations outside the publicly funded research and higher education sectors.
- c. medical and dental research, including but not limited to projects that deal substantially with any of the following areas of research:
 - i. using human subjects to test the clinical efficacy of a diagnostic or therapeutic agent or medically applicable device or material;
 - ii. using material collected from human subjects for the purpose of studying disease prevalence, epidemiology or mode of inheritance;
 - iii. observation or treatment of human patients for clinical medical or dental purposes; or
 - iv. prevention of disease by medical and/or dental intervention in human subjects.

6. Organisational Types, Roles and Eligibility

6.1 Eligible Organisations

6.1.1 A Proposal may be submitted only by an Eligible Organisation listed at Appendix A.

- 6.1.2 The Eligible Organisation which submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations.
- 6.1.3 APDI Fellowships must be undertaken at an Eligible Organisation specified in Appendix A.

6.2 Partner Organisations

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, excluding the following specified organisations and types of organisations:
 - i. Australian higher education organisations and their controlled entities, including their commercial arms;
 - ii. any Australian organisation which is associated with a higher education organisation and provides undergraduate or postgraduate training as a substantial part of its activities;
 - iii. Rural Research and Development Boards / Corporations;
 - iv. State and Territory Government Research and Development organisations;
 - v. Co-operative Research Centres;
 - vi. the Defence Science and Technology Organisation;
 - vii. the Australian Nuclear Science and Technology Organisation;
 - viii. the Commonwealth Scientific and Industrial Research Organisation;
 - ix. Geoscience Australia;
 - x. the Australian Institute of Marine Science;
 - xi. the Institute of Advanced Studies at the Australian National University;
 - xii. the Environmental Research Institute of the Supervising Scientist;
 - xiii. the Australian Antarctic Division;
 - xiv. the Australian Institute of Aboriginal and Torres Strait Islander Studies;
 - xv. 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.

6.3 Partner Organisation General Requirements

- 6.3.1 A Proposal must include at least one Partner Organisation. A Proposal that includes an overseas higher education institution, or a closely associated entity, must include at least one other Partner Organisation in the Proposal.
- 6.3.2 Partner Organisation participation is required for the duration of the Project.
- 6.3.3 A Proposal should include details of the collaborative arrangements proposed, including 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.

6.4 Partner Organisation Contribution Requirements

- 6.4.1 Contributions from the Partner Organisation(s), cash and in-kind, must be specific to the Project and must not be part of a broader contribution to an Administering Organisation.
- 6.4.2 The **combined** Partner Organisation contributions for a Proposal (i.e. the total of the cash and in-kind contributions of the Partner Organisations) must at least match the total funding requested from the ARC.
- 6.4.3 Pursuant to subsection 6.4.2, if a Proposal is seeking:
- a. **less than \$500,000 in each year** from the ARC, the combined Partner Organisation Cash Contribution must be at least 20 per cent of the total funding requested from the ARC; or
 - b. **\$500,000 or more in any year** from the ARC, the combined Partner Organisation Cash Contribution must be at least 50 per cent of the total funding requested from the ARC.
- 6.4.4 An Eligibility Exemption Request, as outlined in subsection 9.4, may be submitted for an exemption from the Partner Organisation Cash Contribution requirement for community groups, small business enterprises, charities, and start-up commercial organisations that can demonstrate that they do not have ready access to cash reserves. The Eligibility Exemption Request must provide a statement of the commitment of the Partner Organisation to provide In-kind Contributions and a breakdown of the In-kind Contributions.
- 6.4.5 Partner Organisation contributions must be specified in Australian dollars and, subject to these Funding Rules, contributed at the specified level regardless of currency fluctuations.
- 6.4.6 In-kind Contributions must be essential and central to the Project. It is the responsibility of the Administering Organisation to establish the merit of the case for recognition of In-kind Contributions. As a general rule, the value of In-kind Contributions should reflect current internal and non-commercial rates.
- 6.4.7 The ARC reserves the right to determine the levels of Partner Organisation contributions and may determine contributions to be at levels which may differ from those submitted in a Proposal.

6.5 A Letter of Support from a Partner Organisation

- 6.5.1 A Proposal submitted in RMS must include a letter of support (of no more than two A4 pages) from each Partner Organisation on its letterhead signed by the Chief Executive Officer, or delegate, including a brief profile of the Partner Organisation and details of the cash and in-kind contributions.
- 6.5.2 Each Partner Organisation must certify 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.

6.6 Eligibility for Concessional Treatment

- 6.6.1 Partner Organisation contributions to a *Linkage Projects* Project may be eligible for a R&D Tax incentive 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.
- 6.6.2 Detailed information on the eligibility requirements for the R&D Tax incentive 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>).

6.7 Other Organisations

Organisations which are not Eligible Organisations and not Partner Organisations but which are listed on a Proposal will be Other Organisations.

7. Roles and Eligibility for Researchers

7.1 Researcher Roles and General Eligibility

7.1.1 Roles that may be undertaken by researchers are:

- a. Chief Investigator (CI);
- b. Partner Investigator (PI); or
- c. Australian Postdoctoral Fellow (Industry) (APDI Fellow).

7.1.2 A Proposal must nominate at least one CI or APDI Fellow; the first-named CI or APDI Fellow will be the Project Leader.

7.1.3 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 Final Reports.

7.2 Eligibility Criteria for Chief Investigators (CI)

7.2.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria as at 1 January 2012, (for Round 1 Proposals), or as at 1 July 2012 (for Round 2 Proposals), and for the full term of her/his participation in the Project:

- a. be an employee for at least half-time (50 per cent of Full Time Equivalent) at **one** Eligible Organisation; or
- b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation listed in Appendix A and not have a substantive paid position elsewhere.

7.2.2 The CI must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The CI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

7.2.3 The CI must legally reside predominantly in Australia for the duration of the Project. The CI may seek approval from the Administering Organisation to undertake fieldwork, or study leave, directly related to the Project not exceeding half the duration of the Project.

7.2.4 Notwithstanding the eligibility under the criteria above or below in this Section, a researcher cannot be a CI if:

- a. undertaking undergraduate studies; or
- b. undertaking a higher degree by research.

7.2.5 If a Proposal has been approved for funding and a CI is at any time no longer able to work as proposed on the Project, the Project may be continued provided that the Project still includes at least one CI or APDI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility requirements.

7.2.6 If a Proposal has been approved for funding and the sole CI is, at any time, no longer able to work as proposed on the Project, the Project must be terminated.

7.3 Eligibility Criteria for Partner Investigators (PI)

7.3.1 A researcher nominated on a Proposal as a PI must:

- a. take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The PI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others;
- b. not meet the eligibility criteria for a CI;
- c. secure a cash or in-kind contribution or other resources from their own organisation for the Project (having regard to the total cost of the Project and the relative contribution of other investigators).

7.3.2 If a Proposal has been approved for funding and a PI is at any time no longer able to work as proposed on the Project, the Project may be continued provided that a replacement PI is approved by the Administering Organisation and meets the PI eligibility requirements.

7.3.3 A researcher who is an employee of an Eligible Organisation listed in Appendix A who does not reside predominantly in Australia may be a PI.

8. Fellowships

8.1 Eligibility Criteria for APDI Fellowship candidates

8.1.1 A researcher nominated on a Proposal as an APDI candidate must:

- a. satisfy the eligibility criteria for a CI;
- b. have been awarded a PhD not more than three years before the closing time for submission of Proposals for the relevant round; or
- c. expect to submit a PhD thesis and confirm that the thesis has been submitted by 31 December 2011 (for Round 1 Proposals) or 30 June 2012 (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; or
- d. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request as outlined in Section 9.4, for the:
 - i. recognition of an equivalent research degree or experience obtained within the specified time limits; and/or
 - ii. variation of the timing requirements commensurate with a period of significant career interruption for maternity or parental leave; carer's responsibilities; illness; or non research employment; and
- e. undertake the APDI at an Eligible Organisation specified in Appendix A.

8.1.2 An APDI Fellowship candidate must not have previously been awarded an ARC Fellowship, with the exception of an Indigenous Researcher Fellowship (subject to subsection 8.1.3).

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

8.1.4 In the case of Fellowships awarded under these Funding Rules, the commencement date will be 1 January 2012 (for Round 1 Proposals) and 1 July 2012 (for Round 2 Proposals) unless otherwise approved by the ARC.

8.2 Level and Period of Funding for APDI Fellows

8.2.1 An APDI Fellowship may be awarded funding for up to three years. An APDI Fellowship must be taken on a full-time basis to work on the approved Project at the Host Organisation. Subject to the approval of the Administering Organisation and Partner Organisations the Fellowship may, after commencement, be undertaken part-time for a period not exceeding six years.

8.2.2 Funding for APDI Fellowships will commence with effect 1 January 2012 (for Round 1 Proposals) and 1 July 2012 (for Round 2 Proposals) unless other arrangements are approved by the Minister.

8.2.3 An APDI Fellowship may be applied for at \$83,136 (2011\$) salary, including 28 per cent on-costs.

8.2.4 The Administering Organisation must ensure a researcher awarded an APDI Fellowship is entitled to up to 14 weeks paid maternity leave during the duration of the award. The ARC will provide up to 14 weeks additional funding for this purpose. The Administering Organisation must seek ARC approval for any extension to the duration of the Project exceeding the 14 weeks paid maternity leave.

8.3 Eligibility Criteria for Linkage Industry Fellowship (LIF)

8.3.1 A LIF may be applied for at up to \$200,000 salary, including 28 per cent on-costs, over the duration of the Project to support the temporary transfer from an Eligible Organisation to another Eligible Organisation or Partner Organisation, or vice versa, of:

- a. a CI nominated on the Proposal; or
- b. a 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.

8.3.2 A LIF request must:

- a. identify and provide justification for the salary, including 28 per cent on-costs, 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;
- b. describe and justify the nature of the temporary transfer, which must include physical transfer of the LIF for the duration of the Fellowship; and
- c. make a strong case for the LIF in terms of the benefits to the Project and the contribution towards the objectives of *Linkage Projects*.

8.3.3 Only one LIF may be requested for each Proposal.

8.3.4 ARC funds may be used for a LIF only if specifically approved for that purpose as a Special Condition.

9. Number of Proposals, Funded Projects and Proposal Eligibility

9.1 Number of Proposals and Funded Projects

9.1.1 A CI or APDI may be funded concurrently for a maximum of four *Linkage Projects*.

- 9.1.2 A CI or APDI may participate in up to four *Linkage Projects* which have ARC funding only for Australian Postgraduate Award (Industry) APAIs, which do not apply for the purposes of the limit in 9.1.1.
- 9.1.3 There is no limit on the number of concurrent *Linkage Projects* for a PI.
- 9.1.4 A researcher may be nominated for a maximum of one APDI Fellowship per *Linkage Projects* funding round.
- 9.1.5 Researchers will not be permitted to relinquish a CI or APDI role held on 1 January 2011, to circumvent the limits in Section 9.
- 9.1.6 Researchers cannot be involved in more than the maximum number of Projects permitted in 2012. This number is calculated at the closing time of submission of Proposals by totalling the number of Projects receiving funding in 2012 and the number of Proposals submitted for funding commencing in 2012. A Project is considered to be funded for the years set out in the Funding Agreement.

9.2 Duplication

A Proposal may only be submitted once in the same funding round to *Linkage Projects* regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

9.3 Proposal Eligibility

- 9.3.1 The ARC will not duplicate funding for research, including infrastructure, already funded as at 1 January 2012 (Round 1) and as at 1 July 2012 (Round 2) by the Commonwealth.
- 9.3.2 The Proposal must list all current funding and requested funding, including Fellowships, for each CI, APDI candidate and PI under any ARC scheme or any other Commonwealth funding scheme. If more than one Fellowship request is approved for funding, only one Fellowship can be accepted.
- 9.3.3 The ARC will assess whether a Proposal meets the eligibility requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.

9.4 Eligibility Exemption Request

- 9.4.1 An Eligibility Exemption Request, including all relevant supporting documentation, must be submitted on the ARC *Eligibility Exemption Request Form*. Subsections 6.4.4 and 8.1.1(d) of these Funding Rules describe the defined situations where it is possible to submit an Eligibility Exemption Request. This form must be submitted through the RMS and received by the ARC by:
- 5:00pm (AEDT) Wednesday 30 March 2011 (for Round 1), or
 - 5:00pm (AEST) Wednesday 28 September 2011 (for Round 2), unless otherwise advised.
- 9.4.2 An Eligibility Exemption Request received by the ARC after the time and dates specified in subsection 9.4.1 will only be considered in exceptional circumstances.
- 9.4.3 The Research Office will be advised of the outcome of any such request as soon as possible. If an Eligibility Exemption is given, the ARC will provide an identifying number for the exemption which is to be quoted on the relevant Proposal.
- 9.4.4 The ARC *Eligibility Exemption Request Form* is available on the ARC website.

10. Submission of Proposals

10.1 Proposals

10.1.1 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.

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

10.2 Submission of Proposals in the RMS

10.2.1 Administering Organisations must submit Proposals through the RMS unless otherwise advised by the ARC.

10.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS form and the *Instructions to Applicants*.

10.3 Closing Time for Proposals

10.3.1 The online form completed within the RMS must be submitted by:

- 5.00pm (AEST) Wednesday 11 May 2011 (for Proposals in Round 1); and
- 5.00pm (AEDT) Wednesday 16 November 2011 (for Proposals in Round 2).

10.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

10.3.3 Proposals may be withdrawn by the Administering Organisation by notice in writing to the ARC up until:

- 5:00pm (AEST) Friday 1 July 2011 (Proposals in Round 1); and
- 5:00pm (AEDT) Wednesday 1 February 2012 (Proposals in Round 2).

10.4 Certification in the RMS

10.4.1 The Administering Organisation must certify a Proposal online in the RMS. Research Offices should ensure that the Research Office delegate role is authorised in the RMS to certify and submit Proposals.

10.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

10.5 Conflict of Interest

10.5.1 Each party involved in a Proposal must declare at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.

10.5.2 A CI or APDI who:

- a. holds a position as Director, Board member, or other paid or unpaid senior management position in a proposed Partner Organisation for a Project; or
 - b. has a personal, professional or financial interest that may influence a Project;
- cannot participate on the Project.

10.5.3 If a conflict of interest exists or arises, the Administering Organisation must have documented processes in place for managing the conflict of interest for the duration of the Project. Such processes must comply with the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research (2007)* and any relevant successor document.

11. Selection and Approval Process

11.1 Assessment and Selection Process

- 11.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.
- 11.1.2 All Proposals may be:
- a. considered against eligibility criteria and compliance with Funding Rules;
 - b. assigned to independent assessors, from a range of organisations, who will assess and report, which may include written comments, on the Proposal against the selection criteria; and
 - c. ranked and allocated a budget, relative to other Proposals, by the College of Experts, on the basis of the Proposal, any assessors' reports and any rejoinder.
- 11.1.3 All Proposals requesting \$500,000 or more for any year (Large Linkage Projects) may be subject to additional assessment, including:
- a. short-listing within the group of Large Linkage Projects Proposals; and
 - b. interviews in a format, including required participants, determined by the ARC. Interviews are expected to be held during August 2011 (for Round 1 Proposals) and March 2012 (for Round 2 Proposals). The ARC will not fund interviewee participation in interviews.
- 11.1.4 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the College of Experts, members of other ARC Committees and ARC staff.

11.2 Rejoinder

The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation.

11.3 Request not to Assess

Administering Organisations may name any person or persons whom they do not wish to assess a Proposal on a 'Request not to Assess' form. The notification must be sent to the email address advised under Contacts at the beginning of these Funding Rules and received by the ARC by the closing time for Proposals for the relevant round: 5.00pm (AEST) Wednesday 11 May 2011 (for Round 1 Proposals); and 5.00pm (AEDT) Wednesday 16 November 2011 (for Round 2 Proposals). 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.

11.4 Recommendations and Offer of Funding

- 11.4.1 In accordance with the ARC Act, the CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.
- 11.4.2 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.
- 11.4.3 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.

- 11.4.4 The Minister may vary the funding approval if the ARC recommends that the particular circumstances of the Project warrant variation. Any variation or change will accord with the ARC *Linkage Projects* Funding Rules and Funding Agreement.
- 11.4.5 If the ARC funding approved for a Project varies from the amount requested, pro rata adjustments may be made to the Partner Organisation contributions.

12. Appeals Process

- 12.1.1 Appeals will be considered only against administrative process issues and not against the assessment outcome.
- 12.1.2 Appeals must be submitted by the Administering Organisation of the ARC Appeals Form, authorised by a Deputy Vice-Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals.
- 12.1.3 Appeals must be addressed and sent to the address advised under ‘Contacts’ at the beginning of these Funding Rules.

13. Reporting Requirements

13.1 Progress Reports

- 13.1.1 Years 1, 2, 3 and 4: Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.
- 13.1.2 Year 3 of a 5 Year Project: A Progress Report must be submitted with the instructions to be provided by the ARC each year.
- 13.1.3 If the ARC is not satisfied with the progress of any Project, further payment of Funds will not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the Funding may be terminated and all outstanding monies will be recovered by the ARC.
- 13.1.4 When required, Progress Reports must be submitted by 31 January in the year following each full calendar year for which the funding was awarded as directed by the ARC.

13.2 End of Year Reports

The Administering Organisation must submit an End of Year Report by 31 March in the year following each full calendar year for which the funding was awarded in accordance with the instructions to be provided by the ARC each year, including details of both the Partner Organisation Cash Contribution and In-Kind Contributions.

13.3 Final Report

- 13.3.1 A Final Report must be submitted for the Project within twelve months of the final payment or within twelve months of the final approved carryover of funds as directed by the ARC.
- 13.3.2 The Final Report must justify why any publications from a Project have not been deposited in appropriate repositories within 12 months of publication. The Final Report must outline how data arising from the Project has been made publicly accessible where appropriate.

- 13.3.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants.
- 13.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

13.4 Audited Financial Statement

- 13.4.1 In accordance with section 58 of the ARC Act, the Administering Organisation must submit an Audited Financial Statement by 30 June for each year following each calendar year for which the Funding was awarded.
- 13.4.2 In completing the Audited Financial Statement, the Administering Organisation must ensure that the amount shown in that statement as ‘approved carry forward funds’ is the same as the amount (if any) for which approval was given by the ARC to carry over in the End of Year Report.

14. Fundamental Principles of Conducting Research

14.1 Ethics and Research Practices

- 14.1.1 All Proposals and ARC-funded research projects must 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.
- 14.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

14.2 Applicable Law

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

14.3 Confidentiality

- 14.3.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information is:
- a. disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
 - b. disclosed to the ARC’s personnel to enable effective management or auditing of the ARC *Linkage Projects* scheme or any Funding Agreement;
 - c. disclosed by the ARC to the Minister;
 - d. shared by the ARC within the ARC’s organisation, or with another Commonwealth Department or agency, where this serves the Commonwealth’s legitimate interests;
 - e. authorised or required by law to be disclosed;
 - f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
 - g. in the public domain.

- 14.3.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.
- 14.3.3 Notwithstanding the above, and in addition to the exemptions listed at subsection 14.3.1, 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).
- 14.3.4 In making public information about a Proposal which has been approved for funding, the ARC may use a project description, including title and summary, which may differ from that provided in the Proposal.

14.4 Intellectual Property

- 14.4.1 The ARC does not claim ownership of any intellectual property in a Proposal.
- 14.4.2 The Administering Organisation must adhere to an Intellectual Property policy, approved by the Administering Organisation's governing body, which has as one of its aims the maximisation of benefits arising from research. Unless otherwise approved by the Commonwealth, the Administering Organisation's Intellectual Property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* as amended from time to time.

14.5 Incomplete or Misleading Information

- 14.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 14.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- 14.5.3 Examples of misleading information and misconduct include:
- a. providing fictitious research opportunity and performance evidence;
 - b. plagiarism;
 - c. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
 - d. making false claims in relation to qualifications and/or appointments;
 - e. making false certifications in the RMS certification; or
 - f. failing to disclose to the ARC the existence, and nature, of actual or potential conflicts of interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

Eligible Organisations

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

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

Multi-State

Australian Catholic University