



LINKAGE—PROJECTS

Guidelines for applicants

for funding commencing in

2003

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Acronyms

The following acronyms are used throughout these guidelines.

APAI	Australian Postgraduate Award Industry
APDI	Australian Postdoctoral Fellowship Industry
ARC	Australian Research Council
CI	Chief Investigator
EAC	Expert Advisory Committee
HECS	Higher Education Contribution Scheme
NHMRC	National Health and Medical Research Council
PI	Partner Investigator
SPIRT	Strategic Partnerships with Industry—Research and Training
SRC	Special Research Centre

Australian Research Council

Linkage—Projects

Guidelines for Funding Commencing in 2003

1 Introduction

These guidelines set out the funding rules under the *Australian Research Council Act 2001* for Linkage—Projects which is part of the Australian Research Council's National Competitive Grants Programme (NCGP). The NCGP comprises two elements, Discovery and Linkage.

Linkage—Projects is an application-based programme available for individual researchers or research teams.

These Guidelines are written on the basis that it is the researcher who is the applicant. However, grants from the ARC are made to eligible institutions, not the individual researchers.

2 Objectives

Linkage—Projects aims to —

- encourage and develop long-term strategic research alliances between higher education institutions and industry in order to apply advanced knowledge to problems, or to provide opportunities to obtain national economic or social benefits
- support collaborative research on issues of benefit to regional and rural communities
- enhance the scale and focus of research in Designated Priority Areas of Research (refer to section 3.2)
- foster opportunities for postdoctoral researchers to pursue internationally competitive research in collaboration with industry, targeting those who have demonstrated a clear commitment to high quality research
- provide industry-oriented research training to prepare high-calibre postgraduate research students
- produce a national pool of world-class researchers to meet the needs of Australian industry.

3 Description

Linkage—Projects supports collaborative research projects between higher education researchers and industry and identifies an allocation to projects of benefit to regional and rural communities. Proposals must contain an industry contribution (see Appendix 2).

The following project costs are supported under Linkage—Projects —

- a) Personnel, including

- Australian Postdoctoral Fellowships Industry (APDI) for researchers with less than three years' postdoctoral experience (see Appendix 4 for entitlements)
- Australian Postgraduate Awards Industry (APAI) for postgraduate research students studying towards a Masters or PhD award (see Appendix 3 for APAI entitlements)
- Research Associates, technicians, laboratory attendants, and so on
- relief from other duties for Chief Investigators, if the request is fully justified (see Section 5.4)

- b) Equipment
- c) Maintenance
- d) Travel.

3.1 Type of research supported

Linkage–Projects supports research and development projects that are undertaken to acquire new knowledge and that involve risk or innovation.

Linkage–Projects stresses that the interaction with actual or potential users of research outcomes is critical for the whole period of the project. The scope of Linkage–Projects is broad, because it supports excellent research which includes—

- *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.
- *strategic basic research* which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. It provides the broad base of knowledge necessary to solve recognised practical problems.
- *applied research* which is original work undertaken primarily to acquire new knowledge with a specific application in view. It 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.

Applicants determine, in collaboration with the industry partner(s), which type of resources are appropriate and necessary for the project they wish to undertake. The contribution from the industry partner(s) must be specific to the project and must not be part of a broader contribution to the institution.

The contribution of the industry partner(s) may, for example, include a contribution towards personnel costs for the project, provision of equipment or use of a laboratory. Information for industry partner(s) and prospective applicants about the eligibility of industry partner(s) is set out in Appendix 2, together with information about an application, contributions and tax incentives.

3.2 Priority Areas

The Minister for Education, Science and Training has designated the following areas of research as priority areas of research for the 2003 funding rounds:

- Nano-materials and Bio-materials
- Genome/Phenome Research
- Complex/Intelligent Systems
- Photon Science and Technology

These areas of research will be referred to as Designated Priority Areas of Research. Linkage—Projects support will include supporting projects focussed upon Designated Priority Areas of Research. Descriptions of these Areas can be found in Appendix 7, and on the ARC web site (www.arc.gov.au).

3.3 Changes from last year

These Guidelines introduce two funding rounds for Linkage—Projects applications in 2002. Applicants will be able to apply in the first round in May 2002 for funding to commence in January 2003, or in the second round in December 2002 for funding to commence in July 2003.

4 Eligibility

There are three applicant roles available under Linkage—Projects:

- Chief Investigator (CI)
- Partner Investigator (PI)
- Australian Postdoctoral Fellowship Industry (APDI)

The roles and eligibility requirements for each of these are described below. To be eligible for consideration, each application must have at least one Chief Investigator or APDI. Where a Linkage—Projects application requests support for an APAI, the application must have at least one Chief Investigator identified as supervisor for the student.

4.1 Eligibility criteria for Chief Investigators

To be eligible to apply as a Chief Investigator, the applicant must meet the following criteria—

- he/she must be an active researcher who takes intellectual responsibility for the project, its conception, any strategic decisions called for in its pursuit and for the communication of results. The applicant 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 other hands.
- he/she must reside predominantly in Australia for the full term of the grant. If the applicant does not have permanent resident status he/she must obtain temporary resident status from the Department of Immigration and Multicultural Affairs before taking up the grant.
- he/she must meet one of the following two criteria—
 - be the holder of a substantive position or paid appointment at, and derive at least 50% of his/her salary from, an eligible higher education institution (as listed in Appendix 1), or
 - be the holder of an adjunct appointment at an eligible higher education institution (as listed in Appendix 1) who does not have a substantive position or paid appointment elsewhere.
- he/she must not have any direct or indirect financial interest in any of the proposed industry partner(s) for the project (see section 4.4.3 on exemptions for portfolio interests).
- he/she must not receive any salary from the ARC for the project.

Notwithstanding his/her eligibility under the criteria above, researchers in the following categories are not eligible to apply as a Chief Investigator—

- an undergraduate student or

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

Chief Investigators must have fulfilled to the satisfaction of the ARC all obligations from previous ARC grants (including final and progress reports).

4.2 Eligibility criteria for Partner Investigators

Researchers who are not eligible to be Chief Investigators or APDIs but who are providing significant commitment, intellectual input and relevant expertise to the project can apply as Partner Investigators. To be eligible to apply as a Partner Investigator, a researcher must meet the following criteria –

- be ineligible to apply as a Chief Investigator.
- be employed by an organisation, other than those eligible higher education institutions listed at Appendix 1, such as industry partner organisations and organisations being funded for research from State or Commonwealth sources (such as CRCs and the CSIRO), other companies, industry peak bodies and overseas organisations.
- derive more than 50 percent of his/her salary from employment in the organisation.
- secure an appropriate contribution of time and operating costs from his/her organisation for the proposed project.
- not receive funding from the ARC for the project.

A Partner Investigator may act as a supervisor for an APAI in conjunction with a Chief Investigator in the application.

Partner Investigator and Chief Investigator roles are mutually exclusive. An individual cannot apply to have both roles on applications in the same round.

4.3 Eligibility criteria for APDI

Applicants for an APDI Fellowship must satisfy all the criteria for a Chief Investigator (above) except for the requirement to hold a substantive position or paid appointment at, and derive at least 50% of his/her salary from an eligible higher education institution. They must also—

- be a researcher who has been awarded a PhD not more than three years before the close of applications for the relevant round, or has not yet submitted his/her PhD but will do so within six months after the close of applications in the relevant round (in which case the Fellowship cannot commence until the PhD has been awarded).
 - If the PhD is not submitted within six months of the close of applications for the relevant round any offer of grant for a project involving the APDI award will be automatically cancelled.
- not have previously held an ARC Research Fellowship, and
- make a **full-time** commitment to the project.

The ARC regards an APDI as a prestigious award for early-career Chief Investigators. If the ARC considers the APDI applicant to be critical to the success of the project then, if the APDI applicant cannot take up the award, the entire project will be terminated.

Further information on entitlements for APDIs is set out in Appendix 4.

4.4 Request for eligibility exemption

If the candidate requires one or more of the following eligibility exemptions, a request must be lodged in writing, through the institution's Research Office, with the ARC Programme Coordinator, at least six weeks before the close of applications for the relevant round. The eligibility exemption request must include a statement justifying the applicant's special circumstances for an eligibility exemption. The applicant will be advised of the decision as soon as possible to allow time for a detailed application to be completed.

If an applicant requires an eligibility exemption and fails to meet the above deadline, their subsequent application will be deemed ineligible.

4.4.1 APDI—Career interruption

In some circumstances, an applicant who is seeking an APDI may not satisfy all the required eligibility criteria due to research career interruption. Research career interruptions could include, for instance, working in industry, misadventure or carer responsibilities. If this is the case, an applicant may apply for an exemption from the eligibility criteria. The ARC will make a final determination of the eligibility status of applicants.

4.4.2 APDI—PhD

Normally, a prerequisite for an APDI is that the applicant is an early career researcher with a recent PhD. Applicants who do not have a PhD or equivalent research doctorate must submit a request for eligibility exemption which provides evidence that their research has been recognised as equivalent to a PhD. In the case where a PhD has been acquired some time after a productive research career, the ARC will look at where the discipline lies and whether the applicant has changed research direction.

If, after reading these guidelines, a researcher is unsure whether he/she is eligible to apply for an APDI, he/she must lodge a request for eligibility exemption through the institution's Research Office

4.4.3 Financial interests of Chief Investigators

Chief Investigators (and APDIs) may apply for an eligibility exemption from the requirement not to have any direct or indirect financial interest in any of the proposed industry partner(s) for the project. Such exemptions may be given to applicants where the ARC determines that their financial interest is not a significant interest and does not constitute a significant degree of ownership or vested interest in the industry partner.

In these cases, a request for exemption may be lodged, together with a statement detailing an applicant's financial interests, justifying their special circumstances for an eligibility exemption. A request for eligibility exemption must be lodged in writing, through the institution's Research Office in accordance with the deadlines outlined above.

4.5 Number of applications/grants

4.5.1 Limit on the number of grants

Chief Investigators and APDIs may participate in up to four concurrent Linkage—Projects which have funding for project costs (other than APAIs) and/or APDIs. This total includes **any** grants

awarded under the former SPIRT Scheme. Chief Investigators may also participate on up to four concurrent Linkage—Projects which have funding for APAIs only.

There is no limit to the number of concurrent Linkage—Projects grants held by Partner Investigators.

Researchers who hold an APDI Fellowship may apply for further support under Linkage—Projects providing the application is closely associated with their existing Fellowship project.

4.5.2 Limit on the number of applications

Chief Investigators and APDIs may only apply for Linkage—Projects grants to the extent that they will not exceed the maximum number of grants they may hold in 2003 (as outlined above). Submitting initial applications that contravene the above limits will result in the automatic exclusion of all applications involving that researcher as a Chief/Partner Investigator/APDI.

Various components underpinning a project are to be framed in a single Linkage—Project application. For example, separate applications cannot be submitted seeking project funding for APDIs and APAIs for essentially the same project. Only one Linkage—Projects application concerning a single project may be submitted in a round, regardless of any variation in the applicants or proposed administering institution.

Subject to the provisions of Section 8.2.6 concerning reconsideration of applications, a Linkage—Projects application for essentially the same project may not be submitted twice in consecutive rounds.

Submitting similar or duplicate applications will result in automatic exclusion of all applications involving those applicants.

In all cases, the ARC reserves the right to determine whether applications are duplicates or sufficiently similar to warrant exclusion.

5 Funding

Applicants will be able to apply in the first round in May 2002 for funding to commence in January 2003, or in the second round in December 2002 for funding to commence in July 2003. The ARC will allocate funds for commencing projects between the two rounds to take account of funds available, the demand to fund projects and the quality of applications.

5.1 Level of funding

The minimum grant size is \$20 000 per annum and the maximum is \$500 000 per annum. You must make a request of at least \$20 000 per year. The ARC reserves the right to determine the level and length of funding allocated to the project. The ARC will award few grants at the higher end of the funding spectrum and these will normally be awarded only for an application that involves a collaborating team of outstanding investigators.

The amount of Commonwealth funding being sought in a Linkage—Projects application will depend on the applicant's capacity to obtain the required industry partner(s) contribution (refer to Appendix 2).

Applicants seeking an APDI under Linkage–Projects should include a request for a salary component in the budget. APDIs are awarded at levels outlined in Appendix 4.

The ARC will commit at least 20 percent of funding available under the Linkage–Projects in order to support collaborative research on issues of benefit to regional or rural communities. Linkage–Projects applications will be considered with regard to the nature of the research and to evidence of collaboration between the researcher(s) and the community.

5.2 Duration of funding

Linkage–Project grants may be awarded for one to five years, subject to parliamentary appropriation. APDIs have a standard duration of three years. Periods of less than three years for APDIs can be sought as long as the reduced period can be adequately justified. (Further details about the tenure of APDIs are provided in Appendix 4).

Only a small number of five year project grants will be made available and these are intended for researchers with sustained track records of successful research outcomes. The final decision on the duration of the grants rests with the ARC’s Expert Advisory Committees and they may recommend project grants for a duration different to that requested.

Projects involving an APAI are awarded for a maximum period of three years with provision under certain conditions for an additional six months’ support from the Commonwealth for PhD students. Where an applicant seeks funding for less than the three-year maximum, including a Master’s degree, a successful applicant will be awarded a stipend only for the period sought without the opportunity to extend.

5.3 Areas of investigation/work not supported

Linkage–Projects does not support the following work —

- clinical medical and dental research and training, and public health research and training that are covered by the NHMRC
- activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, designs and literary works, for which Commonwealth Government support is provided through the Australia Council for the Arts
- scholarly investigations that, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Projects such as uncritical bibliographical compilations and purely descriptive catalogues or editions that do not involve original research are not funded
- projects where the industry partner(s) is seeking expert external assistance, not available within their own organisation(s), in order to develop specific applications involving little innovation or low risk, which the ARC deems to be contracted research or consultancies
- projects that, in the judgement of the ARC, do not significantly enhance links with industry
- additional funding of existing projects previously funded by the Commonwealth under an ARC scheme
- production of teaching materials, even though some research may be involved in their production

- compilation of data, unless it is an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which the data would contribute
- development of research aids and tools (including databases and computer programs), unless they form an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute.

5.4 Budget items not supported

Linkage—Projects does **not** support the following budget items—

Costs of capital works and general infrastructure

Capital works and general infrastructure costs are not considered as project costs to be funded from a project grant. They must not be included as the industry contribution.

Salaries of Chief Investigators and Partner Investigators

The Commonwealth will not provide support, in whole or in part, to meet the salaries of Chief Investigators or Partner Investigators under Linkage—Projects. However, certain early career researchers are eligible to apply for an APDI as a component of a Linkage—Projects grant.

Linkage—Projects funding is not usually provided for Chief Investigators in order to gain substantial relief from normal duties. However, the Committee may consider a request for such funding, for a period of not more than six months a year, if it means that the project will achieve a successful outcome. If approved, the funding contribution is limited to the base rate of the Senior Research Associate scale, regardless of the level of appointment of the staff member.

Special Studies Programmes

Funds are not provided for travel or other expenses for researchers when on a Special Studies Programme. Travel to special facilities away from the base where a researcher is conducting his/her study is seen as part of the normal costs of a Special Studies Programme. Only in exceptional cases will such costs be supported within Linkage—Projects. Subsistence funds will be provided only if an investigator can show that living expenses are not covered by a Special Studies programme grant and that the research to be undertaken directly relates to the project.

Research support for investigators not resident in Australia

Funding will not be provided for research assistance to an overseas Partner Investigator.

International students' fees and HECS liability

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

Computer facilities for molecular analysis

Applicants for projects involving molecular biology should be aware that the ARC supports the Australian National Genomic Information Service, which provides access to a range of databases and a large suite of analysis programs. As this service is available at modest cost, proposals seeking funding for computer facilities to undertake molecular analysis will have to justify such needs very thoroughly.

Basic facilities

Linkage—Projects will not fund basic facilities, resources and infrastructure such as

- accommodation (e.g. laboratory and office, suitably equipped and furnished in

standard ways)

- access to workshop services (such as machine tools and qualified technicians available to each member of staff to enable them to carry out their research)
- access to a basic library collection
- adequate computing time (excluding access to high-performance computers)
- standard reference materials or funds for abstracting services
- basic computing, word processing and microfilm-reading facilities
- use of photocopiers, telephones, mail, fax, email and internet services

Publication Costs

Publication costs, including page costs, are not funded under Linkage-Projects.

6 Cross-scheme funding

6.1 Researchers from ARC funded Centres

The ARC will not fund projects already funded by an ARC Centre. However, any researcher associated with an ARC funded centre, including the Director, is eligible to be a Chief Investigator so long as the following criteria are satisfied—

- The proposed research is outside the core business of the centre (which has already been funded by the Commonwealth). This must be certified by the Centre Director and should be no longer than one page in length and must accompany the application.

The ARC reserves the right to make the final decision on whether a proposal is outside the core business of an ARC Centre.

- As ARC Centre Directors are required by the Conditions of Grant for those Centres to undertake the function on a full-time basis they may apply for a Linkage—Projects grant only if the proposed research is related and complementary to the centre, but outside its core business.
- The applicant meets all other Chief Investigator eligibility criteria.

6.2 Cooperative Research Centres (CRCs)

The ARC will not fund projects already funded by a CRC, or which should reasonably be expected to be funded by a CRC given its core business. Researchers from CRCs may apply as Chief Investigators only if they meet all the eligibility criteria for Chief Investigators (including those concerning the holding of a position at an eligible higher education institution). All other researchers associated with a CRC, including the Centre Director, who do not satisfy the eligibility criteria for Chief Investigators, may apply as Partner Investigators providing they meet all the Partner Investigator eligibility criteria.

Applicants who have an association with a CRC must explain why the project falls outside the core business of the CRC and therefore should not be funded by the CRC. This must be certified by the Centre Director and should be no longer than one page in length and must accompany the application.

The ARC reserves the right to make the final decision on whether a proposal is outside the core business of a CRC.

6.3 Cross scheme eligibility

Applicants must list all existing research funding, and research funding being sought, from all sources.

If a funding request for any part of a project for which the applicant is seeking Linkage-Projects funding has been or is being submitted to any other funding source (including other ARC programs and other funding bodies) applicants must indicate the level of funding obtained, or being sought, from the other funding source .

Applicants applying for both an APDI and any other ARC Fellowship must cross-reference the applications. Only one grant can be accepted in the event that both applications are successful.

If processes above are not observed, the Linkage–Projects application will be excluded. The ARC also reserves its rights to exclude any other application by the applicant to other ARC programs and to terminate any ARC funding arrangement currently in place with the applicant.

The ARC may liaise with other funding bodies to determine if there is any overlap between applications in order to avoid duplication of funding.

6.4 Funding under the ARC or the NHMRC

In some instances, it may not be clear whether an application is more appropriately considered by the ARC or the NHMRC. In these cases, the potential applicant should forward a two-page summary outlining the proposal, through the institution's research office, to the ARC Programme Coordinator, at least six weeks before the close of applications for the relevant round (see 7.3.5 for closing dates). A committee comprising representatives from the NHMRC and the ARC will use the summary to decide which agency will accept an application. Each potential applicant will be advised of the decision approximately two weeks after the due date for such requests.

If an application is received that has potential overlap with NHMRC and the above process has not been observed, the ARC will determine if it is the more appropriate granting agency. Applications that the ARC determines are more appropriate for the NHMRC will be ruled ineligible.

6.5 Funding under Linkage–Infrastructure (Equipment and Facilities)

Linkage—Projects will not normally support a request for an item of equipment costing more than \$133,000. Linkage—Infrastructure (Equipment and Facilities) encourages institutions to develop collaborative arrangements across the higher education sector as a whole and with organisations outside the sector. These grants are intended primarily to support large-scale cooperative initiatives involving two or more institutions. Further information about Linkage—Infrastructure (Equipment and Facilities) can be found on the ARC web site (www.arc.gov.au).

7 Application process

7.1 Applications

As the application is the prime source of information available to the selection committee, applicants must submit their projects as mature research plans ready for implementation. The

application must contain all the information necessary for assessment of the project without the need for further written or oral explanation, or reference to additional documentation, including the World Wide Web, unless requested by the selection committee. All details in the application, particularly concerning any successful grants, must be current.

Applications must not be marked commercial-in-confidence as they cannot be assessed under the ARCs procedures for peer assessment.

7.2 Certification

It is the responsibility of the administering institution to obtain signatures of all participants named at Part B and Part F of the application form. These signatures are to be retained by the administering institution who must provide these certifications if requested. A proforma is available for this purpose on the ARC web site (www.arc.gov.au).

7.3 Submission of applications

Applications under Linkage—Projects consist of two parts—

- 1 Application form to be completed in Grant Application Management System (GAMS)
- 2 Additional text

7.3.1 *Application format*

All documents must be written in English and must comply strictly with the format and submission requirements.

All pages should be in black type, use a single column and 12 point font size on white A4 paper, printed on one side only and unbound, with at least 2 cm margins on each side. As applications are scanned electronically, applicants must use a highly legible font type, such as Arial, Courier, Palatino, Times New Roman and Helvetica. Variants such as mathematical typesetting languages may also be used. References may be reproduced in 10-point font size. Colour graphs or colour photographs may be included but they will be reproduced in black and white.

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

7.3.2 *Application form*

Applicants must use the application form produced by GAMS at the ARC web site (www.arc.gov.au).

Applicants should note that a separate document, *Linkage—Projects Instructions to Applicants for Funding Commencing in 2003* is available from www.arc.gov.au to assist in preparing the GAMS application form.

Applicants must submit their applications through the Research Office by the university's internal closing date. University Research Offices have access to GAMS and will allocate GAMS UserIDs and passwords to enable applicants at their university to access the system and create application forms. If an applicant has previously been allocated access to GAMS, his/her UserID and password should still be current.

After preparation by the applicant, the University Research Offices must submit the application form in GAMS and forward the full paper application, to be received at the ARC before the closing date for the relevant round.

7.3.3 *Number of copies*

An original and **one identical** paper copy only are required. The application must be clipped with NAL clips, not stapled. The application form should be submitted with the additional text, including supporting documentation, interleaved appropriately (see *Linkage—Projects Instructions to Applicants for Funding Commencing in 2003*).

7.3.4 *Closing date for applications*

The paper original and copy of the applications for the first round of Linkage—Projects must be received by the ARC by close of business (AEST) **Friday 10 May 2002**.

The paper original and copy of the applications for the second round of Linkage—Projects must be received by the ARC by close of business (AEDT) **Friday 6 December 2002**.

Applications may be withdrawn but may not be changed after submission. Additions, deletions and modifications will not be accepted after submission. **The ARC will not accept applications that have not been submitted in GAMS by the relevant closing date below:**

Note that, although Research Office staff will continue to have access, the GAMS system will not accept new applications or revisions to applications for **round 1** after close of business (AEST) **Wednesday 8 May 2002**. The GAMS system will not accept new applications or revisions to applications for **round 2** after close of business (AEDT) **Wednesday 4 December 2002**.

Research Offices should send applications—

by **mail**, to

Programme Coordinator (Linkage-Projects)
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

by **courier**, to

Programme Coordinator (Linkage-Projects)
Australian Research Council
AGSO Building
Cnr Jerrabomberra Avenue and Hindmarsh Drive
SYMONSTON ACT 2609

7.3.5 *Linkage—Projects cycle 2002*

Month	Year	Event
28 March	2002	Due date for submission of eligibility exemptions and summaries relating to ARC/NHMRC overlap, round 1
8 May	2002	Last date for applicants and research offices to generate new applications or modify existing applications in GAMS, round 1
10 May	2002	Closing date for applications, round 1
07 August	2002	Expert Advisory Committees review applications, assessments and rejoinders, round 1
25 October	2002	Due date for submission of eligibility exemptions and summaries relating to ARC/NHMRC overlap, round 2
4 December	2002	Last date for applicants to generate new applications or modify existing applications in GAMS, round 2
6 December	2002	Closing date for applications, round 2
April	2003	Expert Advisory Committees review applications, assessments and rejoinders, round 2

8 Selection and approval process

8.1 Selection criteria

8.1.1 *Projects*

When the ARC is assessing applications for funding, it applies weightings to each selection criterion. Weightings on Linkage—Projects vary depending on the type of support being sought in the application. Selection criteria and weightings under Linkage—Projects are detailed below.

Applications seeking funding from the ARC to support project costs associated with personnel, equipment, maintenance and/or travel.	Investigators (20%)— Project content <ul style="list-style-type: none"> • significance and innovation (25%) • approach (20%) • national benefit (10%) • industry partner Commitment (25%)
Applications seeking a stipend to support an APAI only . Note that these applications may contain requests for modest levels of project support costs (up to \$5000 per APAI place per year).	Investigators (20%)— Project content <ul style="list-style-type: none"> • significance and innovation (20%) • approach and training (30%) • national benefit (10%) • commitment from industry partner (20%)

Investigator(s)

- track record relative to opportunities and/or suitability to supervise postgraduate students (as appropriate)

Project Content

Significance and innovation

- does the research address an important problem?
- how will the anticipated outcomes advance the knowledge base of the discipline?
- is the research principally focussed upon a topic or outcome that falls within Designated Priority Areas of Research, and if so how does it address the Area or Areas?
- are the project aims and concepts novel and innovative?
- will new methodologies or technologies be developed?

Approach

- 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?
- is the intellectual content and scale of the work proposed appropriate to a research higher degree?

National benefit

- what is the potential of the research project to result in economic and/or social benefits for Australia from the expected results and outcomes of the project?
- what is the potential for the research to contribute to Designated Priority Areas of Research?

Commitment from industry partner

- is there evidence that the industry partner is genuinely committed to, and prepared to collaborate in, the research project?

8.1.2 APDI(s)

Assessment of fellowship applications is based on the excellence of the applicant's track record relative to opportunity and the excellence of the project. APDI applicants must also provide details, in the text of their application (at Section B10), of (a) their contribution to the project, and (b) the research environment of their host institution.

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

The ARC will identify approximately 20 percent of available funding under the Linkage–Projects to support collaborative research on issues of benefit to rural or regional communities. Linkage–Projects applications 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:

- the industry partner(s) is an organisation located, and/or operating in, a rural or regional community;
- the rural or regional community is involved in identifying the problem or issue to be addressed;
- the rural or regional community is involved in conducting the research;
- there is evidence of an existing relationship between the researchers and the community; and/or

- researchers with a strong track record are involved in conducting research of benefit to rural or regional community.

Applications with a demonstrated benefit to a rural or regional community not supported under the identified allocation will be assessed under the remaining Linkage–Projects allocation.

8.1.4 APAI in the fields of information technology and communications

In 2003, the ARC will allocate at least 50 APAI places in the field of information technology and communications in addition to other APAI funding.

Where a Linkage–Projects application 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 application against these 50 APAI places. A Linkage–Projects application for APAI not supported under these 50 places will also be assessed against all other Linkage–Projects requests for APAI.

8.2 Selection procedure

Assessment of applications is undertaken by one or more Expert Advisory Committees (EAC), which have the right to make decisions solely on the basis of their expertise, and which may:

- exclude ineligible applications
- assign independent readers/assessors to review applications
- seek applicants' comments on assessors' reports
- rank each application relative to the others on the basis of the application and any assessors' reports and applicant response to these assessments
- assess and recommend budgets
- prepare funding recommendations that are submitted to the ARC Board for endorsement and then to the Minister for Education, Science and Training for approval.

The ARC has procedures for declaring conflicts of interest and for members and assessors to withdraw from consideration of particular applications.

8.2.1 Exclusion

Exclusion of ineligible applications by the Expert Advisory Committee may take place at any time during the selection process. Every effort will be made to exclude ineligible applications and inform applicants early in the assessment process. Applications that contravene the guidelines in any way will be excluded. Grounds for exclusion include:

- failing to submit the application through the appropriate Research Office/Chief Executive Officer for certification
- not meeting the funding threshold when inappropriate budget items are removed
- Investigator not meeting the eligibility criteria for a Chief Investigator, Partner Investigator or APDI
- exceeding the limits on the number of applications
- not following procedures for ARC/NHMRC coordination
- providing incomplete or misleading information

- designating all or any part of the application as ‘commercial-in-confidence’.

8.2.2 *Assessment*

The Expert Advisory Committee may assess applications in different ways depending on the level and nature of support sought in the application.

8.2.2.1 *Assessment of applications for APAI(s) only*

The Expert Advisory Committee will assess each eligible application in terms of the support requested to determine whether the application is primarily framed around supporting an APAI(s) training award only. For such applications, the Expert Advisory Committee may

- rank each application relative to the others on the basis of the application
- prepare funding recommendations that are submitted to the ARC Board for endorsement and then to the Minister for approval.

8.2.2.2 *Assessment of applications not primarily supporting APAI(s)*

For other eligible applications the ARC may assign a number of readers/assessors who will be asked to read and rank assigned applications. Such assessors for each discipline grouping will be drawn from a range of institutions to avoid potential conflicts of interest. The ARC reserves the right to make decisions based on any number of assessments or solely on the assessment of the Expert Advisory Committee.

Applicants may name any person whom they do not wish to assess the application. Detailed written justification, which will be considered by the ARC, must be submitted through the institution’s research office, in a separate letter, which **must not** accompany the application. The letter must be received before the closing date for applications for the relevant round, and be sent to

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Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

The ARC will consider the justification put forward by an applicant to exclude any person as an assessor. However, the ARC reserves to itself the discretion not to give effect to an applicant’s request.

8.2.3 *Applicant rejoinder (Linkage—Projects applications other than those seeking an APAI only)*

Where obtained, external assessors textual comments will be provided to the applicant allowing the opportunity for a one-page rejoinder to the comments. To ensure impartiality, assessors’ names are not provided to the applicant. At the same time, the Expert Advisory Committee may add questions to the material sent to the applicants for rejoinder. A period of at least 7 days will be notified to institutions research offices in which applicants will be able to submit a response to the ARC.

8.2.4 *Recommendations*

The EACs may make final checks on eligibility. The EACs rank each application relative to the others on the basis of the application, and assessors’ reports and the applicant’s rejoinders (where

obtained). The EACs assess and recommend budgets. The EACs' funding recommendations are submitted to the ARC Board.

8.2.5 Ministerial approval

A recommendation from the ARC Board is sent to the Minister for consideration. The Minister determines which applications will be offered funding. The Minister's decision is final (subject to an appeals process).

8.2.6 Reconsideration of Applications

The ARC reserves the right to identify some eligible applications which are not offered funding as applications for reconsideration in the next Linkage—Projects round. Applicants will be informed of the status of any such application, and may withdraw the application from further consideration if they wish. An application reconsidered in the next round will be assessed against other reconsidered and new applications in that round. When assessing a reconsidered application, the ARC reserves the right to use existing assessor reports and applicant rejoinder, and may also seek further assessments (and rejoinder).

8.3 Offer of grant

The successful administering institution will be notified in a letter of offer, that will indicate the funding to be provided and will include the Funding Contract.

A project may not begin, nor grant funds be expended, until the administering institution and each collaborating institution have entered into a written agreement, a copy of which must be forwarded to the ARC. The agreement must cover the role of the institutions in the project including—

- contributions by the institutions
- payment of stipends and supervision arrangements of APAIs
- payment of salaries for ARC Fellows
- intellectual property arrangements
- an undertaking by the institutions to abide by the Funding contract.

If this agreement is not completed within 3 months of the offer of the Funding contract then the offer of Grant will be automatically withdrawn.

8.3.1 Funding Contract

Applicants should familiarise themselves with the Funding Contract. Details will be available on the ARC web site (www.arc.gov.au).

The successful applicants must accept the terms of the Funding Contract and the administering institution must sign the Funding contract before grant payments can be made. The Funding Contract must be signed by the administering institution within three months of the offer of the Funding Contract. Failure to do so will result in withdrawal of the offer of funding.

8.3.2 Ownership of assets

Funding Contracts specify that the ownership of any asset purchased wholly or partly with the grant will be vested in the administering institution and listed in its assets register.

8.3.3 Commencement of projects

Projects must commence within three months of the signing by the administering institution of the Funding Contract. Failure to do so will result in termination of funding.

9 Appeals process

Appeals will be considered only against process issues and not against panel decisions or assessor ratings and comments. Appeals must be made on the appeals form available on the ARC website (www.arc.gov.au).

The form must be lodged through the institution's research office and be received by the ARC within 28 days of the date on the letter notifying the outcome of applications, addressed to:

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

10 Grant administration

Administering organisations should note that the Funding Contract covers the post-award management including Reporting requirements and financial management. The draft Funding Contract can be viewed on the ARC website (www.arc.gov.au).

10.1 Privacy of individuals

Institutions must abide by the Privacy Act 1988 when handling personal information collected for the purposes of the Linkage-Projects program. Institutions should ensure that personal information is collected and used in accordance with Information Privacy Principles of the Privacy Act (see Appendix 6).

10.2 Freedom of Information

The public may request access under the Freedom of Information Act, 1982 to all documents created or held by the ARC for the purposes of the Linkage-Projects program. The Freedom of Information Act contains several provisions which exempt certain categories of documents from release.

10.3 Confidentiality

Information contained in applications is regarded as confidential unless otherwise stated and will be received and treated as confidential by the ARC, institutions and assessors.

10.4 Intellectual property

Applicants must agree to comply with the National Principles of Intellectual Property Management for Publicly Funded Research (available at www.arc.gov.au) and act in accordance with any intellectual property policies of the applicant's institution.

10.5 Incomplete or misleading information

If an application is incomplete or contains information that is considered misleading, it will be excluded from any further consideration for funding.

If the ARC believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the ARC will refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth Government 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.

Examples of malpractice include, but are not restricted to—

- providing fictitious track records; or
- falsifying claims in publications records (such as describing a paper as accepted for publication when it has only been submitted).

10.6 Contact points

For further information, the institution's Research Office should be contacted in the first instance.

Enquiries about Linkage–Projects may be addressed to

Programme Coordinator (Linkage-Projects)

Australian Research Council

GPO Box 2702

CANBERRA ACT 2601

Email NCGP@arc.gov.au

Phone 02 6284 6600

Fax 02 6284 6638

Web address www.arc.gov.au

APPENDIX 1

Eligible higher education institutions

Higher education institutions receiving Commonwealth funding on a triennial basis

New South Wales

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

Victoria

Deakin University
La Trobe University
Melbourne College of Divinity
Monash University
RMIT University
Swinburne University of Technology
The University of Melbourne
Victoria University
University of Ballarat

Queensland

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

Western Australia

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

South Australia

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

Tasmania

Australian Maritime College
University of Tasmania

Northern Territory

Northern Territory University
Batchelor College

Australian Capital Territory

The Australian National University
University of Canberra

Multi-State

Australian Catholic University

APPENDIX 2

Information for an industry partner applying under Linkage–Projects

Eligibility

To be eligible as an industry partner, an organisation must be:

- a private sector industry organisation,
- a private non-profit organisation, or
- a Government agency
 - State, Territory or Commonwealth Government organisations are eligible to apply as industry partners where funds they are committing to the project have not previously been appropriated either for internal research related activities or for any other purpose of research, evaluation and/or consultancy.

The following organisations and types of organisations are not eligible as industry partners under Linkage–Projects:

- higher education institutions and their controlled entities, including their commercial arms
- Rural Research and Development Boards
- State and Territory Government Research and Development organisations
- Co-operative Research Centres (CRCs)
- the Defence Science and Technology Organisation (DSTO)
- the Australian Nuclear Science and Technology Organisation (ANSTO)
- the Commonwealth Scientific and Industrial Research Organization (CSIRO)
- the Australian Geological Survey Organisation (AGSO)
- the Australian Institute of Marine Sciences (AIMS)
- the Institute of Advanced Studies(IAS) at the Australian National University
- the Environmental Research Institute of the Supervising Scientist (ERISS)
- the Australian Antarctic Division (AAD)
- and any other organisation that the ARC considers as primarily funded for research from State, Territory or Commonwealth Government sources or from Governments of other countries.

If, after reading these guidelines, any doubt exists over the eligibility of an organisation to be an industry partner, applicants can seek advice from ARC about the status of the industry partner organisation before developing the application. Any requests seeking ruling about the eligibility of an industry partner must be lodged in writing with the ARC Programme Coordinator through the institution's Research Office at least six weeks before the close of applications in the relevant round. The applicant will be advised of the decision as soon as possible to allow time for a detailed application to be completed.

Overseas industry partner

The ARC is prepared to accept an overseas organisation that meets the eligibility criteria as an eligible industry partner provided that, in the application, the following additional criteria are addressed to the satisfaction of the Committee:

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

Where similar projects involving Australian and overseas industry partner(s) are competing at the margin for funding, the Committee will give priority to the Australian industry partner. An Australian industry partner is an organisation, or part of an organisation, that is incorporated under Australian law and is operating in Australia.

Application process

The application must be submitted by an eligible higher education institution and should include:

- a detailed description of the collaborative arrangements proposed, and
- a clear indication of how the industry partner will be involved in the project.

Details of the nature of the collaboration should be presented in both descriptive terms and in figures. Applications should make clear:

- how the collaborating partner is involved in the project
- how the project fits into the company's overall strategic plan
- how the project is of value to the company.

The application must also include a letter of support (of no more than two pages) from each industry partner(s) on their letterhead, including the following information:

- a brief profile of the organisation
- details of the cash and in-kind support that **will** be provided

Failure to do so provides grounds for exclusion.

Every organisation applying to Linkage—Projects as an industry partner must certify at Section F3 of the application form—

- that no part of their cash contribution is drawn from funds previously appropriated from government sources for the purposes of research, evaluation and/or consultancy activity.
- that the industry partner has read and understood the requirements in the Conditions of Grant about industry partner agreements including the requirement to enter into arrangements for intellectual property.

Failure to do so provides grounds for exclusion.

Grant funds from the Commonwealth can be used to support and offset project expenses including personnel (such as research associates, APDI, and laboratory staff), research training through an APAI, travel, maintenance and equipment. Detailed information about the type of research supported and the areas of investigation/work not supported are shown in Sections 3.1 and 5.3 of these guidelines.

Contribution of industry partner(s)

For projects **not** involving an APAI, the combined industry partner contributions, in cash (i.e. funds transferred to the administering institution) or in kind (i.e. other eligible contributions of resources), **must** at least match the total amount sought from the Commonwealth on a dollar-for-dollar basis. Only total direct costs are taken into account as eligible industry Partner contributions.

Where a project is seeking on average \$50 000 or more per year from the Commonwealth, the combined minimum contribution in cash should be 20 percent of the total amount sought from the Commonwealth. Only in exceptional circumstances will the ARC waive this prerequisite.

Organisations such as community groups, small business enterprises, charities, and start-up commercial organisations that can demonstrate that they do not have ready access to cash reserves, may seek exemption for the minimum cash requirement. In such cases, the applicant must submit a request for exemption from the 20 percent cash contribution requirement in writing, through the institution's Research Office, with the ARC Programme Coordinator at least six weeks before the close of applications in the relevant round. The request must quantify in detail the in-kind contribution and the industry partner's commitment to providing it. However, applicants should note that the cash contribution is an important indicator for assessors when judging the degree of commitment and level of collaboration from the industry partner.

The total contribution from the industry partner must be specific to the project and not part of a broader contribution to the institution. The contribution may be used to assist the project with personnel costs (excluding the salaries of CIs), provision of equipment or the use of a laboratory. Costs of capital works and general infrastructure are not normally considered for inclusion in the industry partner contribution.

The selection committee examines the proposed level of the industry partner's cash and in-kind financial support carefully and makes any adjustments it considers necessary to reflect the true value of the contribution. The industry partner's contribution (both in cash and in-kind) must be reported by the institution in its end-of-year report.

Linkage—Projects projects involving an APAI

Where a project seeks support for an APAI student, the industry partner **must** contribute a minimum of \$5 000 in cash **and** \$5 000 in cash or in kind (that is, \$10 000 in total) for **each** year the student is to receive a stipend. In-kind payments alone will not suffice as the sole contribution to the project.

Support requested for project costs over and above those sought to support an APAI stipend **must** (in addition) be matched by the industry partner on a dollar-for-dollar basis at least. Where a project is seeking on average \$50 000 or more per year from the Commonwealth, the combined minimum contribution in cash (including for APAIs) should be 20 percent of the total amount sought from the Commonwealth.

Evaluating the adequacy of industry partner in-kind contributions for Linkage—Projects projects

Guidelines to assist applicants and industry partners in determining the value of in-kind industry partner contributions can be found at Appendix 5.

Offer of grant

A project may not begin, nor grant funds be expended, until the industry partner(s) and the institution have entered into a written agreement. The agreement should cover the role of the industry partner(s) in the project, including the cash and in-kind contributions, supervision, leave and other arrangements for postgraduate research students, intellectual property arrangements, and an undertaking by the industry partner(s) to abide by Linkage–Projects Funding Contract.

Eligibility for concessional treatment

Industry 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 eligibility requirements are met.

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

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

APPENDIX 3

APAI information

Eligibility

Students are likely to be recent graduates interested in industry research or graduates with some years of relevant work experience who wish to undertake research work in order to complete a higher degree. Grants are made on the basis of full-time study and are to begin in the first year of the grant.

To be eligible for an APAI, a student must:

- be an Australian citizen (unless a suitable Australian citizen cannot be obtained – see the Funding Contract for further details)
- be enrolled in a full-time postgraduate research degree at the eligible host institution
- have an appropriate Honours 1 or high 2A (or equivalent) undergraduate degree;
- not be receiving similar funding or stipend from a Commonwealth Government programme
- not already have completed a degree at the same level as the proposed candidature or at a higher level, and
- not have previously held an Australian Postgraduate Award (APA) or APAI unless it was terminated less than three months after the stipend was first paid.

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

The institution must inform the ARC in the Exceptions Report of any changes to an award that affect the amount or duration of funding.

APAI students may receive additional funding and/or payments from other sources provided that such funding and/or payments do not contravene their higher education institution rules applying to Linkage—Projects APAI holders and that the industry partner(s) has no objection to the funding and/or payments.

Entitlements from the Commonwealth for APAIs

The Commonwealth will provide an annual stipend and other entitlements in the form of an APAI for a postgraduate research student studying for either a Masters or a PhD, or equivalent research doctorate. The APAI will be provided at the highest rate of the Australian Postgraduate Award range. Scholarship rates are indexed annually.

Details of the rates for the current year are set out on the ARC website (www.arc.gov.au).

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

- the APAI stipend each year
- a further contribution towards relocation and thesis expenses, as outlined below.

Any funding requirements in excess of the allocation provided for these expenses should be claimed by the institution in the end-of-year report, and any unspent amounts should be reported.

Relocation allowance

The institution will make payments to APAI students relocating residence in order to take up their position, or for an approved transfer, provided that the student provides evidence of expenditure to the institution within six months of the expenditure being incurred. The ARC will reimburse the institution only as part of the Exceptions Report provided that the claim is submitted within a year of the expenditure having been incurred. The ARC will reimburse to a maximum of \$6 000 for all allowances combined in accordance with the Conditions of Grant.

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 institution to the student if-

- the student's thesis is submitted within six months of the completion of the project, and
- the claim is made within twelve months of the end of the project, and
- the student provides to the institution evidence of expenditure relating to producing the thesis.

Taxation

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

HECS exemption

APAI students are exempted from liability under the Higher Education Contribution Scheme (HECS) under section 35 of the Higher Education Funding Act 1988.

APPENDIX 4

APDI information

A one-page justification for an APDI award must be submitted in the application (Section B10) by the applicant who is seeking the Fellowship for himself/herself. It cannot be submitted by another Chief Investigator with a view to advertising for a suitable APDI. Awards begin in the first year of the grant.

Applicants must include in the application the name of an experienced researcher who will act as a mentor for the APDI. He/she could be another Chief Investigator involved in the project.

A successful applicant would be appointed by the institution for three years as an APDI to be employed full-time on the approved project. Tenured researchers who meet the eligibility criteria and successfully apply for an APDI will have to resign from their substantive position before the project begins.

Entitlements from the Commonwealth for an APDI

For a successful APDI applicant, the Commonwealth will pay to the institution each year, as part of funding for the Linkage–Projects project, a sum of approximately \$48559 a year (plus on-costs) as a contribution towards the salary of the Fellow (approximately equivalent to the former Level A (Tutor), Academic Salary Scale). Remuneration levels are reviewed each year.

The Fellowship funding represents the maximum contribution that may be paid as salary to the Fellow from Commonwealth funds in any one calendar year. The host institution must use internal funds or other resources to match local salary levels reached under enterprise bargaining agreements. Other project funds from the Commonwealth must not be used for this purpose.

Eligibility exemption

Please refer to the information at Section 4.4 of these guidelines.

Relocation allowance

The institution will make payments to an APDI for travel and removal expenses associated with their relocating residence in order to take up their position, or for an approved transfer, 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 institution within six months of the expenditure being incurred. The ARC will reimburse the institution only as part of the end-of-year report, provided that the claim is submitted within a year of the expenditure having been incurred.

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

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

APPENDIX 5

Guidelines for the evaluation of the adequacy of Industry Partner in-kind contributions for Linkage—Projects

These guidelines are to be used in determining the value of in-kind Industry Partner contributions that are required to be provided by Industry Partners to the Institution to at least match the financial assistance to be provided by the Commonwealth for Projects within Linkage—Projects.

A. Underlying principles and practical considerations

1. The primary objectives in examining the Industry Partner contribution are to ensure that:
 - the available support is adequate for the successful completion of the Project;
 - the cost of the Industry Partner Contribution matches at least dollar-for-dollar the financial assistance provided by the Commonwealth over the life of the Project (except for some projects involving APAIs);
 - the Industry Partner Contribution is in accordance with the budget, aims and research plan contained in the Project Application submitted by the Institution; and
 - that APAI students are supported by a \$5 000 cash and a \$5 000 in-kind contribution by the Industry Partner for each year they are to receive a stipend.
2. Unless otherwise specified in the project application, a minimum cash contribution by the Industry Partner of 20 percent of the Commonwealth's financial assistance is required.
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 dollar-for-dollar contribution; however, claims of contributions that are not fully documented in the End-of-Year Report will be closely examined by the ARC. The onus is on the Institution to establish the merit of the case for recognition of the level and extent of the in-kind contribution.
4. For each APAI stipend awarded, Industry Partners must provide the institution with a minimum annual cash contribution of \$5 000 or the amount specified in the project application, whichever is the larger, for each year the student is to receive a stipend on the basis that the Project has been approved by the Minister at the level of Industry Partner Contribution specified in the Project Application. Industry Partners must also provide a further minimum annual cash or in-kind contribution of \$5 000 or more in line with the amount specified in the project application. Where an APAI is extended by up to six months for a PhD student, the Industry Partner is not required to provide further cash or in-kind contributions.
5. With the exception of the above APAI-related Industry Partner contribution, if the amount of Commonwealth funding approved for a Linkage—Project varies from the amount applied for, the Chief Investigator must discuss the matter with the Industry Partner. Where the Industry Partner agrees the research project is viable within the parameters of the varied amount of Commonwealth funding pro-rata, adjustments may be made to the project application budget. The Chief Investigator is responsible for providing the research office of the higher education institution with evidence of any such Industry Partner agreement for grant acquittal and reporting purposes.
6. In-kind contributions to a Project may include scientific liaison and management, direct technical support, or unique access to reagents or equipment.

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

B. Guidelines for recognising in-kind budget items in Industry Partner Contributions

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

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<u>Category</u>	<u>Accepted</u>	<u>Not Accepted</u>
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
	Loaned - rental equivalent based on depreciation - rental rate equivalent to highest-volume user	
	Sold - difference between discounted price and selling price to most favoured customer	

Continued:

<u>Category</u>	<u>Accepted</u>	<u>Not Accepted</u>
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 it is an integral part of the Project proposal)
Patents and licences	Licences acquired from third parties for use by the university	Patents Licensing fees paid to the university
Payments concerning the Chief Investigator	Payment to the university for release time from teaching duties	Payment to the Chief Investigator as consulting fees or honoraria (additional to normal salary)
Salaries	Typical salary cost (including overheads) 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 collaborating Industry Partner'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 field work Travel costs to meet with university personnel & Industry Partner staff Conference travel for university staff	
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Continued:

<u>Category</u>	<u>Accepted</u>	<u>Not Accepted</u>
Use of facilities	<p>Internal rates for logistical support and travel allowance for university personnel working on collaborating Industry Partner premises or on field work</p> <p>Internal rates for use of specialised equipment by university personnel or use of process or production lines</p> <p>Internal rates for value of lost production resulting from down time</p>	<p>Use of equipment by collaborating Industry Partner personnel.</p> <p>Space for collaborating Industry Partner activities outside the scope of the specific proposal</p> <p>Equivalent commercial rates</p>

APPENDIX 6

Information Privacy Principles

Principle 1

Manner and purpose of collection of personal information

1. Personal information shall not be collected by a collector for inclusion in a record or in a generally available publication unless:
 - (a) the information is collected for a purpose that is a lawful purpose directly related to a function or activity of the collector; and
 - (b) the collection of the information is necessary for or directly related to that purpose.
2. Personal information shall not be collected by a collector by unlawful or unfair means.

Principle 2

Solicitation of personal information from individual concerned

Where:

- (a) a collector collects personal information for inclusion in a record or in a generally available publication; and
- (b) the information is solicited by the collector from the individual concerned;
the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, before the information is collected or, if that is not practicable, as soon as practicable after the information is collected, the individual concerned is generally aware of:
 - (c) the purpose for which the information is being collected;
 - (d) if the collection of the information is authorised or required by or under law—the fact that the collection of the information is so authorised or required; and
 - (e) any person to whom, or any body or agency to which, it is the collector's usual practice to disclose personal information of the kind so collected, and (if known by the collector) any person to whom, or any body or agency to which, it is the usual practice of that first-mentioned person, body or agency to pass on that information.

Principle 3

Solicitation of personal information generally

Where:

- (a) a collector collects personal information for inclusion in a record or in a generally available publication; and
- (b) the information is solicited by the collector;
the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is collected:
 - (c) the information collected is relevant to that purpose and is up to date and complete; and
 - (d) the collection of the information does not intrude to an unreasonable extent upon the personal affairs of the individual concerned.

Principle 4

Storage and security of personal information

A record-keeper who has possession or control of a record that contains personal information shall ensure:

- (a) that the record is protected, by such security safeguards as it is reasonable in the circumstances to take, against loss, against unauthorised access, use, modification or disclosure, and against other misuse; and
- (b) that if it is necessary for the record to be given to a person in connection with the provision of a service to the record-keeper, everything reasonably within the power of the record-keeper is done to prevent unauthorised use or disclosure of information contained in the record.

Principle 5

Information relating to records kept by record-keeper

1. A record-keeper who has possession or control of records that contain personal information shall, subject to clause 2 of this Principle, take such steps as are, in the circumstances, reasonable to enable any person to ascertain:
 - (a) whether the record-keeper has possession or control of any records that contain personal information; and
 - (b) if the record-keeper has possession or control of a record that contains such information:
 - (i) the nature of that information;
 - (ii) the main purposes for which that information is used; and
 - (iii) the steps that the person should take if the person wishes to obtain access to the record.
2. A record-keeper is not required under clause 1 of this Principle to give a person information if the record-keeper is required or authorised to refuse to give that information to the person under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.
3. A record-keeper shall maintain a record setting out:
 - (a) the nature of the records of personal information kept by or on behalf of the record-keeper;
 - (b) the purpose for which each type of record is kept;
 - (c) the classes of individuals about whom records are kept;
 - (d) the period for which each type of record is kept;
 - (e) the persons who are entitled to have access to personal information contained in the records and the conditions under which they are entitled to have that access; and
 - (f) the steps that should be taken by persons wishing to obtain access to that information.
4. A record-keeper shall:
 - (a) make the record maintained under clause 3 of this Principle available for inspection by members of the public; and
 - (b) give the Commissioner, in the month of June in each year, a copy of the record so maintained.

Principle 6

Access to records containing personal information

Where a record-keeper has possession or control of a record that contains personal information, the individual concerned shall be entitled to have access to that record, except to the extent that the record-keeper is required or authorised to refuse to provide the individual with access to that record under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

Principle 7

Alteration of records containing personal information

1. A record-keeper who has possession or control of a record that contains personal information shall take such steps (if any), by way of making appropriate corrections, deletions and additions as are, in the circumstances, reasonable to ensure that the record:
 - (a) is accurate; and
 - (b) is, having regard to the purpose for which the information was collected or is to be used and to any purpose that is directly related to that purpose, relevant, up to date, complete and not misleading.
2. The obligation imposed on a record-keeper by clause 1 is subject to any applicable limitation in a law of the Commonwealth that provides a right to require the correction or amendment of documents.
3. Where:
 - (a) the record-keeper of a record containing personal information is not willing to amend that record, by making a correction, deletion or addition, in accordance with a request by the individual concerned; and
 - (b) no decision or recommendation to the effect that the record should be amended wholly or partly in accordance with that request has been made under the applicable provisions of a law of the Commonwealth;the record-keeper shall, if so requested by the individual concerned, take such steps (if any) as are reasonable in the circumstances to attach to the record any statement provided by that individual of the correction, deletion or addition sought.

Principle 8

Record-keeper to check accuracy etc. of personal information before use

A record-keeper who has possession or control of a record that contains personal information shall not use that information without taking such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is proposed to be used, the information is accurate, up to date and complete.

Principle 9

Personal information to be used only for relevant purposes

A record-keeper who has possession or control of a record that contains personal information shall not use the information except for a purpose to which the information is relevant.

Principle 10

Limits on use of personal information

1. A record-keeper who has possession or control of a record that contains personal information that was obtained for a particular purpose shall not use the information for any other purpose unless:
 - (a) the individual concerned has consented to use of the information for that other purpose;
 - (b) the record-keeper believes on reasonable grounds that use of the information for that other purpose is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person;
 - (c) use of the information for that other purpose is required or authorised by or under law;
 - (d) use of the information for that other purpose is reasonably necessary for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue; or
 - (e) the purpose for which the information is used is directly related to the purpose for which the information was obtained.
2. Where personal information is used for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue, the record-keeper shall include in the record containing that information a note of that use.

Principle 11

Limits on disclosure of personal information

1. A record-keeper who has possession or control of a record that contains personal information shall not disclose the information to a person, body or agency (other than the individual concerned) unless:
 - (a) the individual concerned is reasonably likely to have been aware, or made aware under Principle 2, that information of that kind is usually passed to that person, body or agency;
 - (b) the individual concerned has consented to the disclosure;
 - (c) the record-keeper believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;
 - (d) the disclosure is required or authorised by or under law; or
 - (e) the disclosure is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue.
2. Where personal information is disclosed for the purposes of enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the purpose of the protection of the public revenue, the record-keeper shall include in the record containing that information a note of the disclosure.
3. A person, body or agency to whom personal information is disclosed under clause 1 of this Principle shall not use or disclose the information for a purpose other than the purpose for which the information was given to the person, body or agency.

APPENDIX 7

Descriptions of Designated Priority Areas of Research

Nano-Materials and Bio-Materials

The development of advanced techniques in materials science and in biotechnology underpins progress and growth in almost every area of industrial and economic activity. The marriage of biotechnology and materials science promises exciting research opportunities, with enormous potential for economic, social and environmental applications and impact.

Biotechnology promises to revolutionise our approaches in areas such as medicine, microbiology and agriculture. Reconstitution of molecular motors, DNA and DNA-protein recognition systems, bio-membranes, and the reconstruction of extracellular and intracellular matrixes, are likely to form the basis of new generation biosensors, bio-inspired materials, high throughput screening systems, chloroplast-like energy transduction systems, and tissue reconstruction procedures.

Materials such as metals, ceramics, polymers, composite materials and natural products are used in a wide range of sectors, such as manufacturing, construction, infrastructure, communications, transport, agriculture and medicine. The ability to 'tailor' material properties at scales near to those of individual atoms and molecules promises to allow the production of materials with novel mechanical, thermal, chemical and surface properties, and with vastly improved performance compared to conventional materials. As well, the ability to form nano-scale assemblies of atoms and molecules is vital to advances in computing, drug design, chemical processing and synthesis, and sensor development.

Australia has extensive existing research strengths both in advanced materials science and in biotechnology. Priority funded research into nano-materials and bio-materials would build on this existing base, in these areas of internationally recognised importance, and would lead to:

- higher performance levels, and hence greater materials utilisation efficiency, to improve product performance and conserve natural resources;
- improved cost-effectiveness and value-added use of materials through advanced manufacturing;
- the development of novel devices, sensors, and techniques for medical, biochemical, industrial and environmental applications; and
- revolutionary new ways to produce implants for medical applications, and the 'production' of replacement organs.

The Genome-Phenome Link

The complete description of the human genome and those of other organisms has been a major achievement of modern science. There is a heightened expectation that gene therapies and the genetic improvement of plants and animals of agricultural importance by gene transfer will lead, among other things, to the eradication of inherited disease and to a solution to the world's food problems. However, the connection between an organism's genes (its genome) and its physical appearance and behaviour (its phenotype) is exceptionally complex and, at present, highly elusive. The growth and differentiation of cells and an organism's predisposition to disease can be controlled by multigene clusters and fine control of the gene expression mechanisms. Although molecular biologists have been very successful in identifying and manipulating genes,

the control of gene expression and the interactions of gene products which lead ultimately to the expression of a unique phenotype are poorly understood.

The reductionist approaches of molecular biologists have often focused on the analysis of bimolecular systems (protein-protein, protein-DNA, protein lipid). Although it has been revealing to understand these interactions, the reactions that lead to the expression of a unique phenotype are infinitely more complex. Nevertheless, molecular genetics coupled with the use of modern technologies based on microchip gene arrays and high through-put and high sensitivity screening are allowing scientists to experimentally access these complex systems and to describe the way in which environmental and genetic factors cooperate positively or negatively to determine the final phenotype.

The post-genomic era will see an increasing focus on the nature of the link between the genome and phenome. Molecular biologists will continue to describe DNA sequences, but there will be an increasing need for biologists who understand not only molecular genetics but also the behaviour of the whole cell, the whole tissue and the whole organism. The problem requires a team approach and the collaboration of molecular biologists, cell biologists, physiologists and biophysicists.

Key areas of study include:

- Genomics and bioinformatics;
- cell differentiation;
- control of gene expression;
- cell signalling pathways;
- energy transduction;
- multigene control of the phenotype traits; and
- identification of quality and disease resistance genes in plants and farm animals.

Complex Systems

Real-world systems are almost always made up of a large number of components that interact in varying and complex ways. This leads to complex behaviour that is difficult to understand, predict and manage. Research into the characterisation and control of such systems attempts to describe them in explicit (often mathematical) ways, in order to provide enhanced degrees of understanding, predictability, control and efficiency in management.

Very simple control systems include the thermostat that controls the temperature of a hot water system, or a street light that comes on at dusk. Much more complex systems which benefit from the application of research into control and system characterisation include the Internet, air traffic control, irrigation, robotics and a wide array of systems associated with power distribution, telecommunications, defence, manufacturing, transport and finance, as well as ecological and biological systems.

Complex systems are modelled and control strategies implemented by mathematicians, computer scientists, information scientists, engineers and other scientists from a broad range of disciplines.

Relevant areas of research include:

- system analysis and control theory;
- mathematical and statistical modelling;
- system and software engineering;
- software-hardware co-design;
- intelligent systems, and
- communications engineering.

Photon Science and Technology

Photon Science and Technology is one of the major growth areas of modern science and technology. Unexpected discoveries in basic photon science, new applications that penetrate many disciplines very swiftly, and very rapid idea-to-market cycles characterise the field. Australia has exceptional quality and some considerable breadth and depth in photon science research, with a demonstrated capacity to found and grow commercial ventures.

Photon Science and Technology includes:

- modern areas such as:
 - laser science and applications;
 - optical fibres and communication systems;
 - photonics, linking photon science and electronics;
 - materials characterisation by synchrotron and other X-ray sources; and
 - atom optics and quantum computing; and
- traditional areas such as:
 - optical materials and components including astronomical instrumentation;
 - solar energy conversion (for example silicon photovoltaics and artificial photosynthesis);
 - photometry and spectroscopy; and
 - human vision.