



**Australian Government**

---

**Australian Research Council**

*Social Sciences Collaboration*

Call for Proposals  
under

*ARC 'Linkage International Funding  
Rules for Proposals for Submission in  
2006'*

**Australian Research Council**  
***Social Sciences Collaboration***  
**Call for Proposals for Submission in 2006**

***Table of Contents***

<b>Acronyms</b> .....	<b>1</b>
<b>Key Dates</b> .....	<b>1</b>
<b>Contacts</b> .....	<b>1</b>
<b>Definitions for <i>Linkage International Funding Rules</i></b> .....	<b>2</b>
<b>1 Introduction</b> .....	<b>4</b>
1.1 Overview .....	4
1.2 Background .....	4
1.3 Objectives of the funding initiative.....	5
1.4 The <i>Social Sciences Collaboration</i> initiative.....	6
<b>2 Organisational types, roles and eligibility</b> .....	<b>6</b>
2.1 Eligible Organisations.....	6
<b>3 Investigator types, roles and eligibility</b> .....	<b>6</b>
<b>4 Types of research support</b> .....	<b>7</b>
4.2 Areas of investigation/work not supported .....	7
<b>5 Funding</b> .....	<b>8</b>
5.1 Level of funding.....	8
5.2 Duration of funding.....	9
<b>6 Budget Items Supported</b> .....	<b>9</b>
<b>7 Budget Items not supported</b> .....	<b>9</b>
<b>8 Researchers from Commonwealth-funded Research Centres</b> .....	<b>9</b>
8.2 Duplication with Commonwealth-funded Research Centres.....	10
8.3 Substantial association .....	10
8.4 Cross-scheme issues.....	11
8.4.1 Cross-scheme funding.....	11
8.4.2 Cross-scheme eligibility.....	11
8.4.3 Funding of clinical medical and dental research.....	11
<b>9 Number of Proposals</b> .....	<b>12</b>
9.2 Duplication.....	12
<b>10 Application, Selection and Approval Process</b> .....	<b>12</b>
10.2 Selection criteria .....	13
10.3 Application process.....	14
10.4 Certification .....	14
10.5 Submission of Proposals .....	14
10.5.2 Format .....	15
10.5.3 How to complete and submit a Proposal.....	15
10.5.4 Number of copies .....	15
10.5.5 Closing time for Proposals.....	16
10.6 Assessment and selection procedure.....	16
10.6.7 Exclusion of Proposals.....	17
10.6.8 Assessment.....	17
10.6.9 Rejoinder.....	17
10.6.10 Recommendations.....	18

10.7	Offer of funding .....	18
10.8	Appeals Process .....	18
10.9	Administration of Funding and Reports .....	18
<b>11</b>	<b>Other Matters.....</b>	<b>18</b>
11.1	Applicable law .....	18
11.2	Confidentiality .....	18
11.3	Project description .....	19
11.4	Intellectual property .....	19
11.5	Incomplete or misleading information.....	20
11.6	Insurance and liabilities .....	20
	<b>Appendix 1: Eligible Organisations .....</b>	<b>21</b>

## Acronyms

The following acronyms are used in ARC Funding Rules.

AEST	Australian Eastern Standard Time
AEDT	Australian Eastern Daylight Saving (Summer) Time
AIF	Australia-Israel Fellowship
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
APA	Australian Postgraduate Award
APAI	Australian Postgraduate Award (Industry)
APD	Australian Postdoctoral Fellowship
APDC	Australian Postdoctoral Fellowship (CSIRO)
APDI	Australian Postdoctoral Fellowship (Industry)
APF	Australian Professorial Fellowship
ARC	Australian Research Council
ARCIF	Australian Research Council International Fellowship
ARF	Australian Research Fellowship
AVCC	Australian Vice-Chancellors' Committee
CE	ARC <i>Centres of Excellence</i> and ARC <i>Centres</i>
CoE	ARC College of Experts
CI	Chief Investigator
CRC	Cooperative Research Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DP	ARC <i>Discovery Projects</i>
DSTO	Defence Science and Technology Organisation
ECR	Early Career Researcher
GA	Geoscience Australia
GAMS	Grants Application Management System
GST	Goods and Services Tax
HECS	Higher Education Contribution Scheme
ICI	Internationally Coordinated Initiatives
IRF	Indigenous Research Fellowship
LASP	ARC <i>Learned Academies Special Projects</i>
LIEF	ARC <i>Linkage Infrastructure Equipment and Facilities</i>
LIF	ARC Linkage Industry Fellowship
LP	ARC <i>Linkage Projects</i>
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
NP	Network Participant
OI	Overseas Investigator
PI	Partner Investigator
QEII	Queen Elizabeth II Fellowship
RN	ARC <i>Research Network</i>
SRC	ARC <i>Special Research Centre</i>
SRI	ARC <i>Special Research Initiatives</i>
URL	Universal Resource Locator

## Key Dates

Closing times for *Linkage International* Internationally Coordinated Initiatives (ICI) Proposals are listed in Appendix 4, Column 2 of the '*Linkage International* Funding Rules for Proposals for Submission in 2006' (*Linkage International* Funding Rules).

**The Closing Time for submission of *Social Sciences Collaboration* ICI Proposals is 5:00 pm AEST Friday 2 June 2006.**

The Closing Time for *Social Sciences Collaboration* Eligibility Ruling requests (Section 7.1 of the *Linkage International* Funding Rules) is 5:00 pm AEST Wednesday 3 May 2006.

The Closing Time for requests relating to assessor exclusion is 5:00 pm AEST Friday 2 June 2006.

## Contacts

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

Enquiries about the ARC '*Linkage International Social Sciences Collaboration* ICI' may be addressed to:

Postal:

**OR**

Courier:

*Linkage International* Coordinator  
Coordinator  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601  
2609

*Linkage International*  
Australian Research Council  
1<sup>st</sup> Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT

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

Phone: (02) 6287 6600

Fax: (02) 6287 6638

Web: <http://www.arc.gov.au>

## **Definitions for *Linkage International* Funding Rules**

**Adjunct Appointment or equivalent** means that an Eligible Organisation has a formal agreement in writing with a researcher which is publicly acknowledged and which establishes an ongoing association with the Eligible Organisation, of the nature of a conjoint, emeritus, honorary or visiting fellow or professor. It would be expected that the person's association would be listed in an official organisational publication and/or web site.

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

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

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

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

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

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

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

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

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

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

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

**Chief Investigator (CI)** means a researcher nominated in a Proposal who satisfies the eligibility criteria for a CI as specified in Section 5.2 of the *Linkage International* Funding Rules.

**Commonwealth-funded Research Centre** means a research centre substantially funded from Commonwealth of Australia competitive research funding sources and includes ARC Centres, CRCs and NHMRC Program Grants.

**Eligible Organisation** means an organisation which is eligible to apply for and receive funding under the *Linkage International* Funding Rules as outlined in Section 4.1 of the *Linkage International* Funding Rules and Appendix 1 of this Call.

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

**Funding Agreement** means the Agreement entered into between the ARC and the Administering Organisation if the Administering Organisation's Proposal is approved for funding. This Agreement sets out the terms and conditions under which the Commonwealth of Australia is to provide funding and the Administering Organisation is to be responsible for administration of the funding and the conduct of the project.

**Funding Rules** means the ARC '*Linkage International* Funding Rules for Proposals for Submission in 2006'.

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

**National Research Priority** means a national research priority referred to in Section 1.2 and further detailed in Appendix 1 of the *Linkage International* Funding Rules.

**Overseas Investigator (OI)** means a researcher nominated in a Proposal who satisfies the eligibility criteria for an OI as specified in Section 5.3 of the *Linkage International* Funding Rules.

**Overseas Organisation** means the employer of the OI. For the purpose of the *Linkage International* Funding Rules, Overseas Organisation does not include an overseas organisation controlled by an Australian higher education organisation.

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

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

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

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

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

**Australian Research Council**  
***Social Sciences Collaboration***  
**Call for Proposals for Submission in 2006**

## **1 Introduction**

### **1.1 Overview**

1.1.1 This document (this Call) invites Proposals from Eligible Organisations (see Section 2.1 and Appendix 1 of this Call) for funding collaborative research Proposals between Australian and British researchers in the fields of social sciences. All Proposals must comply with the Australian Research Council (ARC) '*Linkage International Funding Rules for Proposals for Submission in 2006*' (*Linkage International Funding Rules*), available at <http://www.arc.gov.au>, as well as the requirements described in this Call.

1.1.2 All parties involved in Proposals should read and understand the *Linkage International Funding Rules*, this Call, and the ARC's standard Funding Agreement (which is available at <http://www.arc.gov.au>) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.

1.1.3 The *Linkage International Funding Rules* are current as at February 2006 and were prepared in accordance with the requirements of the ARC Act in force at that time. The *Linkage International Funding Rules* and this Call are subject to change at any time, for reasons including any subsequent amendment, replacement or supplementation of the ARC Act.

1.1.4 Funding under *Linkage International* is provided to Administering Organisations, not to researchers. That is, the ARC will accept a Proposal only from an Eligible Organisation and not from any individual researcher or researchers.

1.1.5 However, if, in the opinion of the ARC, any researcher nominated in the Proposal as a CI, OI or PI has caused or has significantly contributed to the failure of an organisation to meet its obligations under any current or previous funding agreement with the ARC, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that researcher.

### **1.2 Background**

1.2.1 The ARC has a signed agreement with the Economic and Social Sciences Research Council of the United Kingdom of Great Britain and Northern Ireland (ESRC) to fund collaborative research in the social sciences and related disciplines involving researchers in both countries.

1.2.2 The ARC and ESRC are both charged with the fostering and support of

social science research within their own countries. Both Councils also recognise that the very best research in all countries may be delivered by working with, and benchmarking against, the best researchers internationally. To this end both Councils welcome, encourage and support applications for research which cross national boundaries and involve internationally collaborative teams.

- 1.2.3 For the purposes of this call, the ARC and the ESRC have agreed that collaborating researchers within the United Kingdom of Great Britain and Northern Ireland (UK) and Australia, who come within their respective jurisdictions, may apply to their respective Council in each country.
- 1.2.4 The ARC '*Linkage International* Internationally Coordinated Initiative *Social Sciences Collaboration*' will be formally conducted under the ARC's *Linkage International* Funding Rules. The key details and criteria relating to the specific *Social Sciences Collaboration* are summarised at Appendix 4 of the *Linkage International* Funding Rules.
- 1.2.5 The ESRC will fund an equivalent program for counterpart UK applications under its Small Grants scheme. Full details can be found on the ESRC website at <http://www.esrc.ac.uk>.

### **1.3 Objectives of the funding initiative**

- 1.3.1 The specific objectives of the *Social Sciences Collaboration* are to:
- fund collaborative Australian/British Proposals in the fields of economics, economic and social history, political science, socio-legal studies, education, psychology, cognitive studies, linguistics, management and business studies, human geography, environmental planning, international studies, area and development studies, social statistics, demography, social science computing, sociology, social anthropology, social policy and social work; and
  - stimulate enhanced collaborations among social science researchers and create networks linking individuals and centres in Australia and the UK.
- 1.3.2 As an initiative formally conducted under the *Linkage International* scheme, the *Social Sciences Collaboration* aims to encourage and support high quality innovative research which involves internationally collaborative researchers and/or teams including the movement of researchers between research organisations and centres of research excellence in Australia and the United Kingdom.
- 1.3.3 For the purposes of this initiative the social sciences are defined as inclusive of the subjects of economics, economic and social history, political science, socio-legal studies, education, psychology, cognitive studies, linguistics, management and business studies, human geography, environmental planning, international studies, area and development studies, social statistics, demography, social science computing, sociology,

social anthropology, social policy and social work.

1.3.4 Proposals involving cross-disciplinary research which extends outside these fields may be recommended if the Proposal substantially rests in one or more of the above fields and directly meets the objectives of the *Social Sciences Collaboration*.

1.3.5 The ARC will support only the highest quality collaborative Proposals. The ARC reserves the right to recommend to the Minister that Proposals not be funded if they are not of sufficient quality and/or do not meet the selection criteria.

## **1.4 The Social Sciences Collaboration initiative**

1.4.1 The ARC and ESRC will undertake peer review according to their normal procedures. The two Councils will liaise with each other before reaching their separate funding decisions, with the aim of funding high quality collaborative Proposals. Each Council will retain the right of final decision on their respective recommendations for funding.

1.4.2 Each *Social Sciences Collaboration* Proposal and the counterpart application submitted to the ESRC is to be identified clearly as a collaborative Proposal under the ESRC/ARC Agreement in accordance with specific guidance from each Council and is to be submitted on the relevant forms for each country and according to the rules and such closing dates as may apply in each. The text in the *Social Sciences Collaboration* Proposal should explain clearly the linkage and synergy between the Proposal and the counterpart application submitted to the ESRC.

1.4.3 While Proposals should clearly describe the linkage and collaborative synergy with the counterpart application submitted to the ESRC there is no guarantee that if a Proposal is successful in one jurisdiction its counterpart will be funded by the other Council. Accordingly the ARC may recommend funding of a Proposal even though its counterpart application submitted to the ESRC is not recommended for funding.

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

### **2.1 Eligible Organisations**

2.1.1 A *Social Sciences Collaboration* Proposal may be submitted to the ARC only by an Eligible Organisation. Eligible Organisations for the *Social Sciences Collaboration* are specified in Appendix 2 Item 1 of the *Linkage International* Funding Rules and Appendix 1 of this Call.

## **3 Investigator types, roles and eligibility**

3.1.1 The researcher roles and eligibility requirements available for *Linkage International* participants are described at Section 5 of the *Linkage International* Funding Rules.

- 3.1.2 Section 14.3 and Appendix 4 Column 4 of the *Linkage International Funding Rules* lists the roles available under the *Social Sciences Collaboration* as:
- a. Chief Investigator (CI);
  - b. Overseas Investigator (OI); and
  - c. Partner Investigator (PI).
- 3.1.3 Each *Social Sciences Collaboration* Proposal must include at least one CI and at least one OI. One OI must be a researcher from the UK.
- 3.1.4 Only those OIs who are employed in overseas organisations and who are providing significant commitment, intellectual input and relevant expertise to the project are to be listed as an ‘OI’ on the Proposal.
- 3.1.5 The first-named CI will be considered the ‘Project leader’ and must be an employee, or holder of an adjunct appointment or equivalent, at the proponent Eligible Organisation.
- 3.1.6 *Social Sciences Collaboration* Proposals need not include Partner Investigators and/or input from organisations which are not Eligible Organisations. However, a Proposal may be strengthened by the involvement of these parties. Where there are Partner Investigators, they are required to make a significant contribution of material resources from their organisation.

## **4 Types of research support**

- 4.1.1 Subject to Sections 3.4 of the *Linkage International Funding Rules* and Section 4.2 of this Call, the *Social Sciences Collaboration* supports the development of excellent collaborative research between researchers in Australia and the United Kingdom, including:
- a. pure basic research which is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge;
  - b. strategic basic research which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. It provides the broad base of knowledge necessary to solve recognised practical problems; and
  - c. applied research which is original work undertaken primarily to acquire new knowledge with a specific application in view. 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.

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

- 4.2.1 Areas of investigation/work not supported under *Linkage International* are

detailed within Section 3.4 of the *Linkage International* Funding Rules as follows:

- a. clinical medical and dental research and training. These areas of research are generally covered by other Commonwealth of Australia Government funding agencies such as the NHMRC.
- b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, design and literary works. These areas are generally covered by other Commonwealth of Australia Government agencies such as the Australia Council for the Arts;
- c. scholarly investigations that, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Projects such as uncritical compilations and purely descriptive catalogues or editions that do not involve original research are not funded;
- d. production of teaching materials, even though some research may be involved in their production;
- e. compilation of data, unless this is an integral part of a project, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute; and
- f. development of research aids and tools (including computer programs), unless they form an integral part of a Proposal, in which case the Proposal must include a statement indicating the research objectives to which these activities would contribute.

4.2.2 If the ARC considers that a Proposal seeks funding for a project that involves any of the items listed in subsection 4.2.1, then to that extent part or all of the Proposal will not be recommended or approved for funding. However, if the ARC considers other parts of the proposed project remain worthy of support, the ARC may recommend that a reduced amount of funding be approved for the Proposal.

## **5 Funding**

### **5.1 Level of funding**

- 5.1.1 All amounts referred to in the *Linkage International* Funding Rules and this Call are to be read as exclusive of Goods and Services Tax (if any), unless expressly stated otherwise.
- 5.1.2 *Social Sciences Collaboration* projects are expected to commence in 2007. The maximum level of funding which will be provided by the ARC for a *Social Sciences Collaboration* project is \$250,000 total funding over the life of the project.
- 5.1.3 The ARC may recommend partial funding of *Social Sciences Collaboration* Proposals. Funding must be used only for purposes that are

consistent with the *Linkage International* Funding Rules, this Call, and the Funding Agreement.

## **5.2 Duration of funding**

- 5.2.1 Funding for *Social Sciences Collaboration* projects may be awarded for 1 to 5 years, subject to sufficient funding being available for *Linkage International*, and the provisions of the ARC Act.
- 5.2.2 The ARC may recommend funding for a project for a duration different from that requested in the Proposal.
- 5.2.3 The duration of the proposed *Social Sciences Collaboration* project should match the duration of the counterpart project proposed to the ESRC. Where the duration of counterpart projects do not match, this must be fully justified within the Proposal.

## **6 Budget Items Supported**

- 6.1.1 Subject to the restrictions on budget items listed in Section 3.5 of the *Linkage International* Funding Rules and Section 7 of this Call, the *Social Sciences Collaboration* funding may be sought for:
  - a. personnel (salaries and on-costs), including research associates, technicians, laboratory attendants, but excluding those items detailed in subsection 3.5.2b (Salaries of CIs, OIs and PIs) and 3.5.2e (Research support for OIs and PIs) of the *Linkage International* Funding Rules;
  - b. equipment;
  - c. maintenance; and
  - d. travel.

## **7 Budget Items not supported**

- 7.1.1 Areas of investigation/work not supported and restrictions on budget items under all categories of *Linkage International* are specified in Sections 3.4 and 3.5 of the *Linkage International* Funding Rules.
- 7.1.2 A Proposal for funding under the ARC *Social Sciences Collaboration* must not duplicate request for funding for items requested in the counterpart application submitted to the ESRC.

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

- 8.1.1 Section 14.8 of the *Linkage International* Funding Rules describes conditions pertaining to researchers from Commonwealth-funded Research Centres and potential duplication of funding.

- 8.1.2 Commonwealth-funded Research Centres include, but are not limited to, ARC Centres of Excellence, ARC Centres, NHMRC Program grants and Commonwealth of Australia Research Centres.

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

- 8.2.1 Funding will not be provided for research already funded by a Commonwealth-funded Research Centre or which could reasonably be expected to be supported by the Centre given its research program and its level of funding. The proposed research outlined in the *Social Sciences Collaboration* Proposal must not duplicate work that is or will be undertaken by a Commonwealth-funded Research Centre.

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

- 8.2.2 If a *Social Sciences Collaboration* Proposal identifies a CI who is substantially associated (see Section 8.3 of this Call) with a Commonwealth-funded Research Centre, the Proposal must include a letter from the Centre Director which describes the relationship between the proposed research outlined in the Proposal and the research undertaken by the Centre, and states that “the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by the Centre”. This letter should be no longer than one A4 page. If such a letter is not provided in the *Social Sciences Collaboration* Proposal, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 8.2.3 The ARC reserves the right to determine if a proposed project duplicates work funded or likely to be funded as part of a Commonwealth-funded Research Centre. In making a determination the ARC may have regard to, amongst other matters, the Centre application, Centre funding agreement, business plans, strategic plans and/or Annual Reports. If the ARC considers that any information contained in the *Social Sciences Collaboration* Proposal, the accompanying letter from the Centre Director and/or the Centre Annual Report, is inaccurate, incomplete, or misleading in a material respect, the ARC may in its absolute discretion decide to not recommend the Proposal for approval. If, however, the ARC considers that parts of the proposed project remain worthy of support, the ARC may assess the Proposal in the usual way and instead recommend that reduced funding be approved for the Proposal. If the ARC becomes aware of duplication of funding after a project has been funded the project may be terminated and the Centre Director may be asked to show cause why any ARC funding for the Commonwealth-funded Research Centre should not be terminated.

## **8.3 Substantial association**

- 8.3.1 The persons nominated as the Centre Director and Deputy Directors in the initial Centre application or their successors, and researchers who receive more than 30% of their salary from a Commonwealth-funded Research

Centre, are considered to be “substantially associated with” the Centre.

- 8.3.2 Notwithstanding subsection 8.3.1 of this Call, the ARC reserves the right to determine whether researchers are substantially associated with a Commonwealth-funded Research Centre and also reserves the right to take into account the magnitude of in-kind contributions when deciding whether a researcher is substantially associated with a Centre (see subsection 14.10.1.1b of the *Linkage International* Funding Rules and subsection 9.2.1 of this Call).

## **8.4 Cross-scheme issues**

### **8.4.1 Cross-scheme funding**

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

### **8.4.2 Cross-scheme eligibility**

- 8.4.2.1 If a funding request for any proposed research project, salary or equipment has been or is being submitted to another ARC scheme or to any other Commonwealth of Australia funding body, each Proposal must be cross-referenced and summary details of all other funding requests must be included in the Proposal. Proposals must indicate the level of funding obtained, or being sought, from all other Commonwealth of Australia funding sources and must list all existing research funding from all Commonwealth of Australia sources. If these processes are not observed or the ARC determines that incomplete, misleading or inaccurate details were included in the Proposal, the ARC may in its absolute discretion decide to not recommend the *Social Sciences Collaboration* Proposal for approval.
- 8.4.2.2 The ARC may liaise with other funding agencies to discuss any overlap between proposed or existing projects in order to avoid duplication of funding. The ARC may for this purpose disclose to that agency any information in a Proposal.

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

- 8.4.3.1 The ARC does not fund clinical medical and dental research and training under *Linkage International*. If the ARC determines that a proposed project would fall within this area of research, the Proposal will not be recommended or approved for funding. In some instances, it may not be

clear whether or not the project described in a Proposal would fall within this area of research. In these cases, an eligibility ruling may be sought by forwarding a summary of not more than two pages, outlining the proposed research collaboration, according to the process described in Section 7.1 of the *Linkage International* Funding Rules.

- 8.4.3.2 In all cases, whether or not the above process is observed, the ARC reserves the right to decide whether a proposed research collaboration falls within areas of clinical medical and/or dental research and training. If the ARC considers that a Proposal falls within this area of research the Proposal will not be recommended or approved for funding.

## **9 Number of Proposals**

- 9.1.1 A person nominated as a CI on a *Social Sciences Collaboration* Proposal submitted in 2006 may participate in only one *Social Sciences Collaboration* Proposal funded under this 2006 round. Submitting Proposals that exceed this limit may result in all Proposals involving the relevant researcher(s) not being recommended or approved for funding.
- 9.1.2 Subject to Section 14.8.1 of the *Linkage International* Funding Rules and Section 8.2 of this Call, research funding received or sought elsewhere (outside the *Linkage International* scheme) has no impact on eligibility for funding within the *Social Sciences Collaboration*. Nevertheless, the time commitment of the researcher(s) named in the *Social Sciences Collaboration* Proposal will be considered during the assessment process.

## **9.2 Duplication**

- 9.2.1 Only one Proposal may be submitted to *Linkage International* in respect of a particular project in the same funding round for the relevant category, regardless of any variation in the listed researchers and/or Administering Organisation. If the ARC considers that the project described in a Proposal is the same as or similar (in whole or in part) to a project described in another Proposal that is submitted in the same funding round, the ARC may in its absolute discretion decide to not recommend for approval any or all of those Proposals, or recommend that a reduced amount of funding be provided for that or any similar Proposal. The ARC reserves the right to determine whether Proposals are duplicates or sufficiently similar to warrant one or more Proposals' not being recommended for approval.

## **10 Application, Selection and Approval Process**

- 10.1.1 Sections 7, 8 and 14.10 of the *Linkage International* Funding Rules set out the Application, Selection and Approval processes for all categories of *Linkage International*.
- 10.1.2 *Social Sciences Collaboration* Proposals will be received and considered by the ARC under the ARC's *Linkage International* Funding Rules.

- 10.1.3 Proposals for the *Social Sciences Collaboration* must satisfy the requirements specified in the *Linkage International Funding Rules* and the requirements specified in this Call. The key details and criteria relating to the *Social Sciences Collaboration* are summarised at Appendix 4 of the *Linkage International Funding Rules*.

## 10.2 Selection criteria

- 10.2.1 All *Social Sciences Collaboration* Proposals which meet the eligibility criteria will be assessed and merit ranked in accordance with the selection criteria stipulated in subsection 14.10.1 of the *Linkage International Funding Rules* as follows:

**a. Investigator(s) (40%)**

Assessment against this criterion will take into account the parties who are to be involved in and associated with the project, including their:

- i. track record relative to opportunities;
- ii. capacity to undertake the proposed collaborative research in relation to the objectives of the *Social Sciences Collaboration*; and
- iii. commitments to other research programs, teaching, committee memberships and administrative duties.

**b. Nature and merit of the Proposal (60%)**

Assessment against these criteria will take into account the nature and merit of the Proposal in relation to the objectives of the *Social Sciences Collaboration* as indicated in subsection 14.1.6 and Appendix 4, Column 5 of the *Linkage International Funding Rules*, including:

**i. Approach (25%)**

- does the Proposal aim to stimulate enhanced collaboration and create networks linking social sciences researchers in Australia and the UK?
- are the conceptual framework, design, methods and analyses adequately developed, well integrated, and appropriate to the aims of the Proposal?
- the value for money and budget justification, including where appropriate any cash or in-kind financial contributions to be made from non-ARC sources.

**ii. Significance and innovation (25%)**

- does the proposed collaborative research address an important problem?
- will the anticipated outcomes advance the knowledge base of the discipline?

**iii. National Benefit (10%)**

- what is the potential of the collaborative research to result in economic and/or social benefits to Australia from the expected results and outcomes of the project?
- is the collaborative research principally focussed upon a topic or outcome that falls within one of the National Research Priorities and associated Priority Goals, and if so how does it address the National Research Priority?

### **10.3 Application process**

- 10.3.1 *Social Sciences Collaboration* Proposals must comply with the Application Process specified at Sections 7 and 14.10 of the *Linkage International Funding Rules*.
- 10.3.2 A Proposal should be submitted as a mature research collaboration plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC.
- 10.3.3 A Proposal should demonstrate the linkage and synergy between the Proposal and its British counterpart and how this is expected to stimulate enhanced collaboration among social science researchers and create networks linking individuals and centres in Australia and the UK.
- 10.3.4 Notwithstanding subsection 10.3.3 of this Call, a Proposal will be assessed as a discrete project.
- 10.3.5 All details in the Proposal must be current at the time of submission.
- 10.3.6 In submitting a Proposal, the Administering Organisation and the CIs, OIs, and PIs nominated in the Proposal are consenting to the Proposal's being assessed under the ARC's peer assessment procedures and to the release of the Proposal to third parties for assessment purposes.

### **10.4 Certification**

- 10.4.1 The Administering Organisation must obtain signatures of all parties necessary to allow the proposed research collaboration to proceed. These signatures are to be retained by the Administering Organisation which must provide them if requested by the ARC. A form is available for this purpose on the ARC web site (<http://www.arc.gov.au>).
- 10.4.2 If a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer or equivalent for certification, the Proposal will not be recommended or approved for funding.

### **10.5 Submission of Proposals**

- 10.5.1 *Social Sciences Collaboration* Proposals consist of two parts:

- a. an on-line form which must be completed and submitted in the ARC on-line Grants Application Management System (GAMS) accessible via the ARC web site at <http://www.arc.gov.au>; and
- b. additional text which must be submitted as part of the paper version of the Proposal, including supporting documentation, investigator curricula vitae and signed certification.

## 10.5.2 **Format**

10.5.2.1 *Social Sciences Collaboration* Proposals must comply with the format requirements as specified in subsection 7.4.3 of the *Linkage International* Funding Rules.

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

10.5.3.1 *Social Sciences Collaboration* Proposals must comply with the submission requirements in subsection 7.4.4 of the *Linkage International* Funding Rules.

10.5.3.2 A separate document, '*Linkage International* Instructions to Applicants for Proposals for Submission in 2006 - *Social Sciences Collaboration* ICI', will be available from <http://www.arc.gov.au> to assist in preparing *Social Sciences Collaboration* Proposals.

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

by mail to:

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

or by courier to:

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

## 10.5.4 **Number of copies**

10.5.4.1 In addition to the on-line form, a paper version of the Proposal must be submitted in duplicate (one original and one identical copy). The paper version must be clipped, not stapled. The paper version of the Proposal must be submitted with the additional text, including supporting documentation, interleaved appropriately (see '*Linkage International* Instructions to Applicants for Proposals for Submission in 2006 - *Social Sciences Collaboration* ICI').

## 10.5.5 **Closing time for Proposals**

10.5.5.1 The paper versions of the *Social Sciences Collaboration* Proposal must be received by the ARC, and the on-line form completed using the ARC's GAMS must be submitted, by **5:00 pm (AEST) Friday 2 June 2006**.

10.5.5.2 Proposals may be withdrawn but additions, deletions and modifications will not be accepted after submission, unless invited by the ARC. Subject to this subsection, Proposals received after the closing time will not be accepted. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late Proposals.

## 10.6 **Assessment and selection procedure**

10.6.1 Each Proposal will be initially assessed as a discrete project and may be recommended for funding regardless of the counterpart application.

10.6.2 Assessment of *Social Sciences Collaboration* Proposals will be undertaken in accordance with Section 8 of the *Linkage International* Funding Rules.

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

- a. determine if a Proposal satisfies the eligibility criteria set out in the *Linkage International* Funding Rules and this Call;
- b. identify and determine any other matters that the *Linkage International* Funding Rules state may result in the ARC's not recommending a Proposal for approval;
- c. assign assessors to review Proposals;
- d. seek comments on assessors' reports from the parties involved in the Proposal;
- e. rank each Proposal relative to the others on the basis of the Proposal, any assessors' reports, and any response to those assessment reports;
- f. assess and recommend the amount of funding to be made available for a Proposal; and/or
- g. prepare funding recommendations for the Minister as required by the ARC Act.

10.6.4 The ARC College of Experts assists with the assessment of Proposals. The ARC has procedures for managing organisational and personal conflicts of interest experienced by members of the College of Experts, members of other ARC Committees, ARC members, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.

10.6.5 The ARC may refer recommended Proposals to the ESRC for further coordinated discussion.

10.6.6 ARC funding of a *Social Sciences Collaboration* Proposal may be subject to the decision of the ESRC to fund the counterpart application submitted to the ESRC. The success or otherwise of a *Social Sciences Collaboration* Proposal may not be dependent on the success of the counterpart application submitted to the ESRC.

10.6.7 **Exclusion of Proposals**

10.6.7.1 In accordance with subsection 8.2.2 of the *Linkage International Funding Rules* the ARC may recommend exclusion of applications at any time during the selection process.

10.6.7.2 In accordance with subsections 8.2.2.1 and 8.2.2.2 of the *Linkage International Funding Rules*, the ARC will not recommend for approval, and the Minister will not approve for funding, any Proposal that fails to satisfy the “eligibility criteria” set out in those Rules.

10.6.8 **Assessment**

10.6.8.1 In addition to assessment by the ARC, a Proposal may at the ARC’s absolute discretion be assessed by external assessors. Assessors will be drawn from a range of organisations to reduce the potential for conflicts of interest. Proposals will be assessed against the relevant selection criteria set out in subsection 14.10.1 of the *Linkage International Funding Rules* and subsection 10.2.1 of this Call.

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

10.6.8.3 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal. Detailed written justification must be submitted through the Administering Organisation’s Research Office in a separate letter which must not accompany the Proposal. The letter must be received by the ARC by the closing time for Proposals, **17:00 AEST Friday 2 June 2006**, and be sent to:

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

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

10.6.9 **Rejoinder**

10.6.9.1 Assessors’ written comments, if obtained, may be provided to allow the opportunity for a rejoinder to the comments. Names of assessors are not provided. At the same time, the ARC may add questions to the material

sent for rejoinder. A period of 2 weeks is given to submit a rejoinder to the ARC. Rejoinders will not be accepted after the nominated closing time for rejoinder submissions. The ARC may limit the length of rejoinders which can be submitted. Rejoinders must be submitted through the ARC's on-line grants application management system.

#### **10.6.10 Recommendations**

10.6.10.1 The ARC's recommendations will be submitted in accordance with the ARC Act to the Minister for Education, Science and Training (the Minister) for consideration. The Minister determines which *Social Sciences Collaboration* Proposals will be approved and the amount and timing of financial assistance to be paid to Administering Organisations for approved Proposals.

10.6.10.2 Under the ARC Act, the Minister may not approve for funding any Proposal that fails to meet the eligibility criteria set out in the *Linkage International* Funding Rules and this Call.

### **10.7 Offer of funding**

10.7.1 If Proposals are approved, Administering Organisations will be:

- a. notified in a letter of offer that will indicate the financial assistance to be offered; and
- b. provided with a copy of the proposed Funding Agreement for signing by the Administering Organisation.

### **10.8 Appeals Process**

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

10.8.2 Section 9 of the *Linkage International* Funding Rules provides details regarding the appeals process.

### **10.9 Administration of Funding and Reports**

10.9.1 Section 10 of the *Linkage International* Funding Rules provides details relating to the administration of funding and reporting requirements.

## **11 Other Matters**

### **11.1 Applicable law**

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

### **11.2 Confidentiality**

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

11.2.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.

11.2.3 Notwithstanding the above, and in addition to the exemptions listed at subsection 11.2.1 of this Call, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of nominated CIs, OIs, PIs and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its intended outcomes; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

### **11.3 Project description**

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

### **11.4 Intellectual property**

11.4.1 Section 11.4 of the *Linkage International* Funding Rules provides details

relating to the ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a project funded under *Linkage International*.

## **11.5 Incomplete or misleading information**

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

## **11.6 Insurance and liabilities**

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

## **Appendix 1: Eligible Organisations**

Eligible Organisations for the *Social Sciences Collaboration*:

### **New South Wales**

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

### **Victoria**

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

### **Queensland**

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

### **Western Australia**

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

### **South Australia**

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

**Tasmania**

Australian Maritime College  
University of Tasmania

**Northern Territory**

Charles Darwin University  
Batchelor Institute of Indigenous Tertiary Education  
Australian Capital Territory  
The Australian National University  
University of Canberra

**Multi-State**

Australian Catholic University

**Museums and herbaria** which are Australian publicly funded organisations not directly funded to carry out research, but with research-related purposes and objectives.