



**DEPARTMENT OF EMPLOYMENT, EDUCATION,
TRAINING AND YOUTH AFFAIRS**

AUSTRALIAN RESEARCH COUNCIL

**RESEARCH FELLOWSHIPS SCHEME
GUIDELINES**

1999

Research Fellowships Scheme Guidelines

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PART A—General Information

A1 Introduction

Applicants and institutional Research Office staff should read carefully all parts of the Research Fellowships Scheme Guidelines before preparing or submitting applications.

A2 Changes in brief

Changes to this year's Research Fellowship Scheme Guidelines include:

- introducing a four-year option for Australian Postdoctoral Fellowships (APD);
- simplifying, re-ordering and clarifying the Guidelines and the application form, in response to suggestions by the Research Training and Careers Committee (RTCC), institutional research administrators and the Australian Vice-Chancellors' Committee;
- limiting Research Fellowship applications to one per year per applicant;
- setting 2 February 1998 as the deadline for submitting eligibility exemption requests and the coordination summaries for the Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC);
- revising the timing within which Fellows are expected to take up duty;
- clarifying the grounds for deeming an application to be ineligible;
- requiring two copies of applications; applications containing colour graphs or photographs will not be reproduced in colour and therefore assessors will receive only black-and-white copies of applications;
- discontinuing the practice of allowing re-categorisation of applications across Fellowship levels, after submission;
- clarifying PhD thesis requirements for APD applicants;
- removing the provision to apply for a second Australian Research Fellowship (ARF) or Queen Elizabeth II Fellowship (QEII);
- revising and clarifying the instructions regarding linked Research Fellowship and Large Research Grant applications;
- specifying more clearly the expectations about the quality of the host institution, its intellectual environment and provision of resources;
- including a request for more detailed information on research funding attracted by applicants (not applicable to APDs)
- revising the level of the ARC's specified contribution towards Fellowship salaries, applicable from 1 January 1998, with clear specification of the obligations of the administering institution to match commensurate local salary levels, as reached through Enterprise Bargaining agreements; and
- emphasising the need for ARC Research Fellows to be appointed as academic staff under the terms and conditions of the host institution.

A3 Grounds for exclusion of applications as ineligible

All applicants should pay particular attention to the grounds that specify applications as ineligible, as detailed in Part B, Section 2.

A4 Timetable for 1999 Grants Round

November	1997	Guidelines and application forms available
2 February	1998	Due date for submission of requests for eligibility exemption and two-page summaries relating to ARC/NHMRC overlap
9 February	1998	Advice of outcome of ARC/NHMRC coordination and Fellowship eligibility exemption requests
1 March	1998	Closing date for applications NOTE: Institutions will have earlier closing dates
20–24 April	1998	Initial exclusion of ineligible and uncompetitive applications and selection of assessors for the remainder
1–14 May	1998	Institutions and applicants notified of unsuccessful applications. Requests for assessments forwarded to assessors for remaining applicants
10 June	1998	Due date for receipt of assessor reports
July	1998	First round appeals heard
16 July	1998	Assessor reports sent to remaining applicants for written rejoinder
7 August	1998	Due date for applicants' single page rejoinders
24–28 August	1998	Preparation of funding recommendations for ARC
October	1998	ARC recommendations to Minister
October/November	1998	Announcement of Research Fellowships and advice to applicants
December	1998	Final round appeals heard

A5 Research Fellowships Scheme objectives

The Research Fellowships Scheme aims to foster opportunities for pursuing internationally competitive independent research, targeting those who have demonstrated a clear commitment to high-quality research. The Scheme provides opportunities for career development and serves to supply trained, innovative personnel who are able to maintain and expand national research capacity and to move into other areas of education and industry.

Prospective applicants should be aware that the competition for Fellowships is intense. In recent years, there have been approximately nine applications for every available Fellowship and many excellent candidates have been unsuccessful. Applications should therefore be

submitted only by those who have exceptional academic and research backgrounds and who are willing to put a considerable amount of time into preparing an excellent application that clearly addresses the relevant selection criteria.

A5.1 Scheme structure

There are three categories of Fellowships available:

- Australian Postdoctoral Fellowships (APD);
- Australian Research Fellowships/Queen Elizabeth II Fellowships (ASF/QEII); and
- Australian Senior Research Fellowships (SRF).

Both tenured and non-tenured researchers may apply. However, each successful applicant currently holding a tenured position must formally resign from that position before taking up the Fellowship and provide written evidence to this effect, countersigned by the Pro Vice-Chancellor (Research), his/her delegate or equivalent. This requirement applies to all categories.

All Fellowships are open to international competition but, in general, overseas candidates need to demonstrate a higher level of performance than their competitors or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally and of benefit to Australian research.

Fellowships are tenable on a full-time basis at different levels of Australian higher education and other institutions. Specific information regarding eligible institutions is provided in the information for each category of Fellowship. While a Fellow's principal duty is to undertake research, it is also important to specify the role he/she would be expected to play within the host department or institution.

A5.2 Eligibility exemption request

If, after carefully reading these Guidelines, a researcher is unsure whether he/she is eligible for a particular Fellowship, he/she should consult institutional Research Office staff in the first instance. If the candidate wishes to submit a specific eligibility exemption request, this should be lodged, in writing, through the Research Office, with the Director, Research Grants and Training Section, by 1 February 1998, that is one month before the due date for submitting Research Fellowship applications. Each applicant will be advised of the decision approximately one week later, allowing time for a detailed application to be completed.

If an applicant fails to meet the above deadline, he/she may submit an eligibility exemption request when he/she submits his/her application but will run the risk of exclusion, if the request is denied.

There will be no opportunity for an application to be re-categorised after submission, either by the applicant or the RTCC.

A5.3 Application limit

For support in 1999, an applicant may submit one application only, through one institution only, in one category only; that is, the APD Fellowship category, or the ARF/QEII combined category, or the SRF category.

As indicated above, there will be no opportunity for an application to be re-categorised after submission, either by the applicant or the RTCC.

A6 Type of research supported

As a means of maintaining a high-quality research base, the Scheme supports individual researchers with a clear commitment to excellent pure or applied research projects in:

- biological sciences;
- physical, mathematical and chemical sciences;
- engineering, earth and applied sciences; and
- the humanities and social sciences.

Pure research is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge. Applied research is original work undertaken primarily to acquire new knowledge with a specific application in view.

A6.1 Ineligible areas of investigation

The Research Fellowships Scheme does not support individuals pursuing the following areas of investigation:

- **research of relevance to clinical medicine and dentistry**, as these areas are more appropriately dealt with by the NHMRC. For applicants where the choice of agency is not clear, see procedure details in Part A, Section 7.2;
- **scholarly investigations** that, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Researchers proposing such projects as uncritical bibliographical compilations and purely descriptive catalogues or editions, which do not involve original research, are not funded; and
- **those activities that lead solely to the creation or performance of a work of art**, including visual art, musical compositions, drama, dance, designs and literary works. Commonwealth Government support for personnel pursuing these activities is provided through the Australia Council for the Arts.

A6.2 Ineligible types of work

The Research Fellowships Scheme does not support researchers to undertake the following:

- **producing teaching materials**, even though some research may be involved in their production;
- **compiling data**, unless an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which the data would contribute;
- **developing research aids and tools** (including 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.

A6.3 Provision of basic facilities

The host institution must certify its agreement to provide the following basic facilities, which may not be funded from Research Fellowship support:

- accommodation (suitably equipped and furnished in standard ways);
- access to workshop services (eg machine tools and qualified technicians available to each member of staff, according to need, for 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; and
- use of photocopiers, telephones, mail, fax, e-mail and Internet services.

A7 Cross-program eligibility

If funding for the same proposal or salary is sought from a Commonwealth or other funding body, each application should be cross-referenced, where known, recognising that there are different timing regimes for other schemes. Applicants must indicate the level of funding obtained or being sought from all other schemes in Question 14 on the application form.

The RTCC may liaise with other funding agencies to discuss any overlap between proposals, to avoid duplication of funding or to check on researchers' time commitments.

A7.1 Linked Research Fellowship/Large Research Grant applications

A7.1.1 Request for alternative salary support for an APD/ARF applicant through a Large Research Grant

An applicant for an APD Fellowship or an ARF may be concurrently nominated as a Research Associate or Senior Research Associate within the budget of a Large Research Grant application, as a means of seeking an alternative salary source, should the Fellowship application be unsuccessful. In this situation, the person for whom the salary support is sought is ineligible to be named as a Chief or Partner Investigator on the Large Research Grant.

Where such linked applications are submitted:

- both applications must indicate that the applicant is seeking support from the other Scheme in Question 15 (RF) and Question 9.1 (LG) plus Question 14 (RF) and Question 11 (LG).

A7.1.2 Request for additional research support through a Large Research Grant with a concurrent application for an ARF/QEII or SRF

An applicant for any of the above Fellowship categories may make a concurrent application to the Large Research Grants Scheme to obtain additional project support if required, provided that his/her own salary is not sought.

Where such linked applications are submitted:

- both applications must indicate that the applicant is seeking support from the other Scheme in Question 9.1 (LG) and Question 15 (RF) plus Question 11 (LG) and Question 14 (RF);
- the Fellowship applicant must be named as the sole Chief Investigator on the Large Research Grant application, except where he/she intends to work at the Institute of Advanced Studies at the Australian National University or at a research organisation outside the higher education sector that is primarily funded for research from State or Commonwealth Government sources. In this case he/she may be involved only as a Partner Investigator. That is, an eligible Chief Investigator will have to submit the application for the Large Research Grant;
- the Large Research Grant application must indicate whether the project will be viable if the Research Fellowship application is unsuccessful, and vice versa for the Research Fellowship application. There is extensive liaison between the RGC and RTCC Discipline Panels throughout the assessment cycle to ensure that linked applications are not jeopardised in the process.
- with the exception of Australian Postdoctoral Fellows, existing ARC Fellows are encouraged to apply where eligible, as sole or joint Chief Investigators, for additional support for their research projects through other sources of funding, including the ARC Large Grants Scheme and the ARC Small Grants Program.
- the ARC will make every effort to approach common assessors to prepare reports on the two applications.

A7.2 ARC/NHMRC coordination

Some Fellowship applicants may be eligible for support from either the ARC or NHMRC.

Where a project is relevant to an area of clinical medicine or dentistry that could be funded by the NHMRC, the applicant should forward a two-page summary outlining the proposal through the Institutional Research Office to the Director, Research Grants and Training Section, by 2 February 1998. This should be done even if a related project has previously received support from the ARC. A committee comprising representatives from both the NHMRC and the ARC will use the summary to decide which scheme is more appropriate. Each applicant will be advised of the decision approximately one week after the due date for such requests.

If the applicant fails to meet the above deadline, he/she must submit cross-referenced applications, using the same title, to both the ARC and the NHMRC and must declare the submission on the ARC application form by marking the appropriate box in Question 8 and including the NHMRC application in Question 14. The ARC will then consider which is the more appropriate scheme to grant the funding. The applicant will be advised in late April or early May, from which time the proposal will proceed through only one scheme.

If these processes are not observed, the application will be excluded.

A8. Categories of Fellowships

A8.1 Australian Postdoctoral Fellowships

Purpose

The specific purpose of the APD is to strengthen Australia's national research and development capability by providing opportunities for postdoctoral-level researchers to undertake research of national and international significance and to broaden their research experience.

New category of Australian Postdoctoral Fellowship

After a wide consultation process, the ARC proposes to introduce for 1999 a four-year APD teaching and research option, in which the host institution will be responsible for one quarter of the funding, as the Fellow will be gaining valuable skills in communication and teaching, to enhance not only his/her career opportunities but also the quality of the research undertaken. Any intending applicant must discuss the feasibility of this option with his/her Head of Department, in view of resource implications, before indicating interest in such support at the time of application. A final decision about the preferred option will not be required until an APD Fellowship is actually offered.

Number of Fellowships available, tenure details and support entitlements

In 1998, fifty five APD Fellowships were offered with a standard tenure of three years. The number to be awarded in 1999 is expected to be similar.

For each APD awarded, a sum in the range of \$38 589–\$41 422 per annum will be provided by the Commonwealth 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. A list of the rates at 1 January 1998, appears in Appendix F.

In addition, a Research Support Grant of \$6000 per annum is provided to assist in meeting costs directly associated with, and essential to, the Fellowship.

In the case of Fellows electing to take up the four-year option, the ARC contribution will be 75% of the standard annual amount, including the Research Support Grant.

Tenure will be continued provided the ARC receives satisfactory annual progress reports, but will not be extended.

The Commonwealth Fellowship award represents the maximum contribution that may be paid as salary to the Fellow from ARC 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. The Research Support Grant must not be used for this purpose.

Eligibility

Australian and overseas researchers may apply for an APD to commence in 1999 if:

- they have been awarded a PhD since 1 March 1995; or
- they have not yet submitted their PhD thesis but are due to do so before the end of 1998.

NOTES

- 1 If an APD Fellowship offer is made, it will be contingent upon receiving official confirmation that the thesis has been submitted by 31 December 1998.
- 2 An APD Fellowship cannot be taken up until formal advice is received that the PhD thesis has been accepted, within a maximum time limit of six months, that is by 30 June 1999.

In either of the above circumstances, the offer will be withdrawn in favour of a reserve candidate.

APD Fellowships are categorised as ‘training’ awards and as such are tenable at any Unified National System (UNS) university, the Institute of Advanced Studies (IAS) at the Australian National University (ANU) or any other research organisation outside the higher education sector, including those funded primarily for research from State or Commonwealth Government sources.

To ensure continuity of appropriate leadership, the proposed research supervisor or team leader must certify that his/her period of the tenure will cover the term of the Fellowship.

Eligibility exemption

Prospective Fellows who do not meet the eligibility requirements, but who believe that the Australian Postdoctoral Fellowship category is the most appropriate one for which they should apply, are encouraged to seek advice about an exemption by 1 February 1998 to allow a decision to be advised through the institution’s Research Office by 8 February 1998. Otherwise, they may lodge an application by the normal closing date of 1 March 1998, provided that they attach a statement justifying special consideration by the RTCC.

If the latter option is taken up and the Committee is satisfied that there are good grounds for exemption, the application will be accepted for consideration. There will be, however, no capacity to re-categorise the application, should the exemption request be denied.

For example, exemption may be given to candidates who have interrupted their careers to care for children. People who have opted to pursue non-research careers do not normally qualify for exemption.

Selection Criteria

The following selection criteria apply to applications for APD Fellowships:

- the ability of the applicant as determined by:
 - the demonstrated potential for career development, and
 - his/her track record, relative to opportunity, as considered in the light of his/her career path, taking into account the quality of past achievements, especially in regard to academic record, awards and prizes, as well as research performance and evidence of referred publications;
- the quality of the aims, significance, research plan and methodology of the project proposal; and
- the quality of the research environment and the extent of facilities and infrastructure to be provided to support the research proposal.

In terms of selection criteria, candidates who present little evidence of scholarly distinction, other than their PhD thesis, are unlikely to be competitive and are therefore likely to be excluded in Stage 1 of the assessment process.

In addition, the ARC may give preference to applicants who intend to move to an institution other than the one where their PhD was obtained, in order to take up the Fellowship, and/or who have had research experience at more than one institution. Applicants should provide a justification of their choice of institution, particularly if no change of institution is planned.

In this category, the ARC may give preference to Australian citizens and permanent residents. Overseas applicants will need to demonstrate a higher level of performance than their competitors, or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally and of benefit to Australian research.

Referee Report

Each applicant for an APD Fellowship must arrange for a referee report to be prepared, either from his/her proposed research supervisor or team leader or from his/her current supervisor. The applicant must attach this report to the application when submitting it. A copy of the proforma is in Appendix A.

A8.2 Australian Research Fellowships/Queen Elizabeth II Fellowships

Purpose

ARF and QEII Fellowships are provided to strengthen Australia's national research and development capability by providing opportunities for established researchers to undertake research of national and international significance.

The Australian Government established the QEII Fellowships to encourage research in Australia by postdoctoral graduates of exceptional promise and proven capacity for original work.

Number of Fellowships available, tenure details and support entitlements

In 1998, thirty ARF/QEII Fellowships were offered with a standard tenure of five years. The number to be awarded in 1999 is expected to be similar.

A sum in the range of \$43 604–\$51 780 (ARF) or \$46 873–\$51 780 (QEII) per annum will be provided by the Commonwealth as a contribution towards the salary of the Fellow (approximately equivalent to the former Level B (Lecturer), Academic Salary Scale). Remuneration levels are reviewed each year. A list of the rates at 1 January 1998 is set out in Appendix F.

In addition, a Research Support Grant of \$7000 (ARF) or \$10 500 (QEII) per annum is provided to assist in meeting costs directly associated with, and essential to, the Fellowship.

Tenure will be continued provided the ARC receives satisfactory annual progress reports, but will not be extended.

The Commonwealth Fellowship award represents the maximum contribution that may be paid as salary to the Fellow from ARC 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. The Research Support Grant must not be used for this purpose.

Fellows are not eligible to apply for a second ARF or a second QEII Fellowship, or to hold an ARF after a QEII Fellowship, or vice versa. They are, however, eligible to apply for an SRF.

Eligibility

- Applicants must have an excellent academic record and have been awarded a PhD;
- At the time of application, applicants should normally have more than three years', but not more than eight years', professional experience since the award of their PhD. APD Fellows are exempt from this rule and may apply in the third year of their Fellowship;
- ARFs are not tenable at the IAS at the ANU or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources (eg DSTO, CSIRO, AGSO, State R&D organisations); and
- QEII Fellowships are categorised as 'training' awards and as such are tenable at any UNS university, the IAS at the ANU or any other research organisation outside the higher education sector, including those funded primarily for research from State or Commonwealth Government sources.

Eligibility Exemption

Prospective Fellows who do not meet the eligibility requirements, but who believe that the ARF/QEII Fellowship category is the most appropriate one for which they should apply, are encouraged to seek advice about an exemption by 1 February 1998 to allow a decision to be advised through the institution's Research Office by 8 February 1998. Otherwise, they may lodge an application by the normal closing date of 1 March 1998, provided that they attach a statement justifying special consideration by the RTCC.

If they do not take up the latter option and the Committee is satisfied that there are good grounds for exemption, the application will be accepted for consideration. There will, however, be no capacity to re-categorise the application should the exemption request be denied.

For example, exemption may be given to candidates who have interrupted their careers to care for children. People who have opted to pursue non-research careers do not normally qualify for exemption.

Selection Criteria

The following selection criteria apply to applications for ARF/QEII Fellowships:

- the ability of the applicant as determined by the demonstrated potential for career development;
- his/her track record, relative to opportunity, as considered in the light of his/her career path, taking into account the quality of past achievements, especially in regard to academic record, awards and prizes, as well as research performance and evidence of significant refereed publications;
- the quality of the aims, significance, research plan and methodology of the project proposal; and
- the quality of the research environment and the extent of facilities and infrastructure to be provided to support the research proposal.

In addition to the above criteria, the Committee, in judging ARF/QEII applications, will be looking for evidence of:

- any especially original approaches shown during, or after, the PhD;
- a demonstrated track record of significant output in international peer reviewed literature of some duration;
- exceptionally high levels of achievement and, in most cases, some international recognition;
- any forms of special recognition received (for example: prizes, medals or non-routine appointments); and
- any other attributes that indicate that the applicant will continue to make an outstanding contribution to research in his/her specific discipline.

The ARC may give preference to Australian citizens and permanent residents in the ARF category. Overseas applicants will need to demonstrate a higher level of performance than their competitors, or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally and of benefit to Australian research.

There is no similar differentiation in the case of QEII considerations, where the competition is open.

A8.3 Australian Senior Research Fellowships

Purpose

The purpose of SRFs is to provide opportunities for outstanding researchers with proven international reputations to undertake research that is both of major importance in its field and of significant benefit to Australia. SRFs are the premier Fellowships offered by the Australian Research Council and, consequently, are highly sought after and extremely competitive.

Number of Fellowships available, tenure details and support entitlements

In 1998 fifteen SRFs were offered with a standard tenure of five years. The number to be awarded in 1999 is expected to be similar.

For each SRF a sum in the range of \$53 414–\$82 847 per annum will be provided by the Commonwealth as a contribution towards the salary of the Fellow (approximately equivalent to the former Level C, D or E, (Senior Lecturer, Associate Professor or Professor), Academic Salary Scale). Remuneration levels are reviewed each year. A list of the rates at 1 January 1998 is set out in Appendix F.

No Research Support Grant is provided with these Fellowships.

Tenure will be continued provided the ARC receives satisfactory annual progress reports, but will not be extended. Senior Research Fellows may compete again at the end of their Fellowship term.

The Commonwealth Fellowship award represents the maximum contribution that may be paid as salary to the Fellow from ARC 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. The Research Support Grant must not be used for this purpose.

Eligibility

The awards are open to world-wide competition from:

- researchers normally with more than eight years' professional experience since the award of their PhD and who are either:
 - Australian-based researchers who have an internationally competitive research record; or
 - extremely high-profile expatriate Australians and non-Australian researchers, who wish to pursue their research in Australia.

Australian SRFs are not tenable at the IAS at the ANU or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources (eg DSTO, CSIRO, AGSO, State R&D organisations).

Eligibility Exemption

Prospective Fellows who do not meet the eligibility requirements, but who believe that the Australian SRF category is the most appropriate one for which they should apply, are encouraged to seek advice about an exemption by 1 February 1998 to allow a decision to be advised through the institution's Research Office by 8 February 1998. Otherwise, they may lodge an application by the normal closing date of 1 March 1998, provided that they attach a statement justifying special consideration by the RTCC.

If they take up the latter option and the Committee is satisfied that there are good grounds for exemption, the application will be accepted for consideration. There will, however, be no capacity to re-categorise the application, should the exemption request be denied.

People who have opted to pursue non-research careers do not normally qualify for exemption.

Selection Criteria

The following selection criteria apply to applications for an SRF:

- the ability of the applicant as determined by:
 - the demonstrated potential for career development; and
 - his/her track record, relative to opportunity, as considered in the light of his/her career path, taking into account the quality of past achievements (especially in regard to academic record, awards and prizes), his/her research performance, and evidence of sustained production of publications in recognised international journals in the field and other outputs;
- the quality of the aims, significance, research plan and methodology of the project proposal; and
- the quality of the research environment and the extent of facilities and infrastructure to be provided to support the research proposal.

In addition to the above selection criteria, an applicant for an SRF will need to demonstrate a sustained track record of significant output in international peer-reviewed literature, unusually high research ability, a strong commitment to quality research output as judged against opportunity, as well as evidence of being an exceptional researcher who has made, and is continuing to make, an outstanding contribution to his/her research field.

Preference may be given to:

- current ARC Fellows, either those seeking promotion from ARF/QEII levels or those seeking reappointment at SRF level;
- applicants not holding tenured positions in Australian universities or research institutions; and
- Australian citizens and permanent residents. Overseas applicants will need to demonstrate a higher level of performance than their competitors, or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally and of benefit to Australian research.

Research Support

No Research Support Grant will be provided through the SRF program. Applicants must specify how the proposed research will be funded, detailing the source/s and level of support needed to undertake the research successfully. Funding sources may include:

- the ARC Large Research Grants program;
- research grants from other organisations; and
- institutional research support and the ARC Small Grants Program.

Before a SRF can be taken up, the host institution must provide certification that the applicant has obtained appropriate research support.

A9. Roles and Responsibilities

A9.1 Research Training and Careers Committee, its Panels and Subpanels

The RTCC undertakes the overall assessment of all applications against the eligibility and selection criteria.

The RTCC is broken into four Discipline Panels, which are divided into nine Subpanels:

- Biological Sciences
 - F0 Molecular and Cell Biology
 - F1 Plant and Animal Biology
- Engineering, Earth and Applied Sciences
 - F3 Earth Sciences
 - F4 Engineering—Electrical and Computer
 - F8 Engineering—Civil, Mechanical and Chemical
- Humanities and Social Sciences
 - F5 Humanities
 - F7 Social Sciences
- Mathematical, Physical and Chemical Sciences
 - F2 Chemistry
 - F6 Physics and Mathematics

Information on categories of research encompassed by each Subpanel is detailed in Appendix B.

Many applications to the ARC relate to more than one discipline. Where these are contained within one of the four major Discipline Panels, as detailed above, the expertise exists to handle the application within that Panel.

Where a Fellowship application is innovative in more than the area covered by one Discipline Panel, the RTCC defines this as a multi-panel application, which will be considered by the appropriate combination of Subpanels, as well as by the RTCC Chair. In such cases, the applicant must indicate in which Subpanel area the proposal's major likely conceptual

advance or discovery lies. Applications deemed to be multi-panel will be sent to assessors representing each relevant discipline area.

Where the applicant has designated a proposal as multi-panel, but the novelty lies in only one particular field, the RTCC will assign the application to the Subpanel responsible for that discipline.

In all cases, the RTCC will determine the most appropriate Subpanel to assess an application.

In the assessment processes, particularly at the first selection meeting, these Subpanels are also assisted by the members of the Research Grants Committee and its Discipline Panels and Subpanels, which comprise active researchers from higher education institutions and research organisations in Australia and encompass a wide range of discipline expertise.

The Subpanels use a large number of expert assessors, both from Australia and overseas, to assess applications for ARC Fellowships.

A9.2 Department of Employment, Education, Training and Youth Affairs (DEETYA)

Staff of the Research Branch of DEETYA administer the Research Fellowships Scheme. In particular, they handle the processing of applications for support, administer the funds provided under the *Higher Education Funding Act 1988* for Fellowships recommended by the ARC and accepted by the Minister, and provide advice to the Minister on the operation of the Scheme. The Minister has delegated to specified officers the responsibility for approving expenditure and approving variations to Fellowships and re-allocating funds not used. The Minister's delegate may terminate an ARC Fellowship if a Fellow fails to comply with the relevant conditions. The staff of the Research Branch also provide secretariat support to the RTCC.

A9.3 Australian Research Council

Under the *Employment, Education and Training Act 1988*, the ARC has a two-fold responsibility:

- to provide advice on national research priorities and to coordinate research policy; and
- to make recommendations to the Minister on the distribution of resources allocated to a range of specified research schemes.

Specifically in respect of the Research Fellowships Scheme, the ARC makes funding recommendations to the Minister and advises on related policy issues.

A9.4 Institutional Research Offices

Institutional Research Offices are responsible for the dissemination of information, including access to application forms and Guidelines. Where the administering organisation is not part of the UNS (as listed in Appendix C) but is still eligible, the functions of the Research Office are generally assumed by the Chief Executive Officer or equivalent. Institutional Research

Offices are expected to notify DEETYA of any significant changes of circumstance relating to both applications and existing grants.

The Research Office at each institution should be the first point of contact by an applicant or grantee for any queries about ARC programs, processes and outcomes. Any researcher who makes a direct approach to the DEETYA Research Branch will be referred back to the appropriate institution. Similarly, all correspondence must be forwarded through the Research Office.

The administering institution must be willing to certify its agreement to host the applicant and his/her project, if successful; to manage the grant, if awarded; and to provide the necessary facilities and support for the conduct of the research proposed.

Outcomes of applications are advised through the relevant Research Office, at all stages of the process.

Only private researchers may submit applications directly to DEETYA.

A10 Assessment Process

NOTE: The *Members' and Administrators' Handbook*, available on the Web, provides further detail about the assessment process.

Stage 1

At the first selection meeting Panel members review the comparative quality of applications against the selection criteria as detailed for each Fellowship category, in brief:

- the ability of the applicant;
- the quality of the project; and
- the quality of the research environment.

At this stage, the above criteria are weighted 50:25:25.

Approximately half the applications are selected for further consideration. For each of these, external assessors (at least three for APD and ARF/QEII applications and five for SRF applications), expert in the relevant specific area of research, are selected and will be approached and asked to assess applications against the above criteria. In cases where an application requires assessment by specialists from more than one discipline, the Panel takes care to select appropriate assessors.

The Subpanel will normally use only one of the applicant's nominated assessors.

Where applicants have not submitted requested reports by the due date, the Subpanels seek further assessor reports in an attempt to provide them with as much information as possible to aid in their final consideration of the applications.

Applicants excluded in Stage 1 will be notified, through the institutional Research Office of the proposed host institution, by mid-May 1998.

Stage 2

The assessors' comments and any Subpanel questions are sent to the applicant with a request for a one-page response to assessor comments and, where relevant, a further one-page rejoinder to any comments or questions from the Subpanel. The names of the assessors are not provided to the applicant in order to ensure that the impartiality of the assessment process is maintained.

Stage 3

At the final selection meeting each Subpanel ranks the applications within each Fellowship category, taking into account the assessments and the applicants' rejoinders. Each Panel then formulates its combined ranking list. At this stage, the selection criteria are weighted 40:40:20.

Because there are no quotas for particular disciplines, the RTCC then meets as a whole to compare the merits of candidates from the four Panels, generally determining that a certain number of the top-rated applicants in each category from each Panel should be recommended with minimal discussion. After that, each Panel presents its next best candidate whose merits are weighed against those from the other three Panels until consensus is reached about where each candidate ranks in a consolidated order of merit. This process continues until all places have been filled and reserves selected.

ARF and QEII Fellowship applications are considered together. The top applicants in the combined group will be offered QEII Fellowships. The next group of applicants in terms of merit, provided they meet the requirements, will be offered ARFs.

The RTCC prepares a detailed list of Fellowship recommendations and associated financial allocations and submits it to the ARC for endorsement. The recommendations are then forwarded to the Minister for approval.

A11 Appeals

Appeals will be heard only against process issues and not against evaluative Committee decisions or assessor ratings or comments. An applicant may appeal only where there is clear evidence that the process followed has contravened the Scheme Guidelines.

Applicants must lodge appeals in writing through the Institutional Research Office within 28 days of the date on the letter from the Director, Research Grants and Training Section notifying them of the outcome. Appeals by other parties, on behalf of an applicant, will not be considered.

All appeals must be sent to:

The Appeals Officer
Research Branch
Higher Education Division
Department of Employment, Education, Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601

All appeals will initially be referred to the Chair of the relevant Subpanel and the Chair of the RTCC, both of whom will provide comment for consideration by the Appeals Committee. The Appeals Committee comprises people who have not been involved in the decision-making process for the Fellowships.

Each applicant will be notified of the outcome of his/her appeal, through the Institutional Research Office. Where an appeal is upheld, the application is re-admitted to the normal assessment process.

A12 Approval of Fellowships and Conditions of Award

Following Ministerial approval of funding under the Research Fellowships Scheme, DEETYA will despatch letters informing all applicants and their institutions of the outcome of applications that have progressed to the final stage.

The Vice-Chancellor, his/her delegate or equivalent officer will receive the *Conditions of Award* incorporating an Annexure detailing all Research Fellowships to be administered by that institution. To accept the offer he/she must sign the *Conditions of Award*, agreeing to the terms and conditions specified, which may include, for example, dependence on the acquisition of project funding in the case of a Senior Research Fellow. DEETYA will initiate payment action only on receipt of the signed *Conditions of Award*.

In accepting the Fellowship/s the signatory certifies that he/she will observe the *Conditions of Award*, including the following specific provisions:

- an ARC Fellow is appointed as an academic staff member under the terms and conditions of the host institution and is therefore required to abide by the regulations (including disciplinary provisions) as set down;
- an ARC Fellow is entitled to the same access to infrastructure funds as academic staff at the same level; and
- an ARC SRF is entitled to the same access to promotion as other academic staff of the same grade.

A12.1 Acceptance of Offer/Commencement of Fellowship

A Fellow is expected to indicate acceptance of his/her Fellowship before the Vice-Chancellor, his/her delegate or equivalent officer accepts the offer of funding.

Each Fellow will be expected to take up duty between 1 January 1999 and 30 June 1999. In special circumstances only (specifically in the case of Northern Hemisphere academic year commitments), the Fellow may seek approval to defer commencement up to 31 October 1999. Existing Fellows appointed to either a higher category of Fellowship or a second SRF will be required to take up the award no later than 30 June 1999.

Where a Fellow is unable to commence the award within the time frame above, the Fellowship will be withdrawn and offered to a reserve candidate.

A13 Management of Grants

When a Fellowship is offered to an institution or organisation, and is accepted, it is the responsibility of that institution or organisation to ensure that the funding is administered correctly and meets the requirements set out in the *Conditions of Award*.

A14 Evaluation

A final report in a form specified by DEETYA is required for each Fellowship. Each final report is referred to the relevant Subpanel, which reviews the outcomes against the stated objectives of the Fellowship. Any Fellow whose final report is deemed inadequate will be contacted for further information. If the Subpanel is still not satisfied with the outcome, this will be noted against any further applications submitted by the Fellow and may affect his/her future success.

The Government also maintains the Research Evaluation Program (REP) in order to evaluate the performance of the individual grants programs, as well as other elements of the Targeted Research and Scientific Development Program, against the Government's objectives for the overall program. Evaluations undertaken through the REP assist the ARC to review the outcomes of research supported by its research funding programs. The REP also enables the development, by respective research communities, of discipline research strategies concerning their longer term goals and priorities.

It is a condition of funding that all ARC Research Fellows must make themselves available to contribute to, and participate in, any REP exercise relating to their awards, at times extending beyond the finalisation of support.

PART B—Instructions to Applicants

B1 Matters to note before completing the application form

B1.1 Accuracy of information

Please check carefully all information contained in the application form before you submit your application.

B1.2 Malpractice

If the ARC believes there is any evidence of malpractice, it will take action to investigate further. If its views are confirmed, it will dismiss the application from further consideration or terminate the grant if already awarded. Examples of malpractice include, but are not restricted to:

- submitting two versions of essentially the same application;
- including fictitious track records; and
- falsifying claims in publications records (eg describing a paper as accepted for publication when it has only been submitted).

B1.3 Inaccurate or incomplete information

The application may be ruled ineligible in any case where there is evidence of:

- erroneous reporting of financial information; or
- failure to list all existing research funding or to detail all concurrent applications for support.

B1.4 Confidentiality

All applications submitted to ARC or DEETYA are treated in confidence and are not public documents.

Documents are made available only to people that the ARC deems necessary to assist in selecting and evaluating applications. These include Council members, relevant Committee and Panel members, assessors as selected by relevant Committee or Panel members, other relevant research funding agencies and the Research Branch Secretariat.

It is a condition of appointment that Council, Committee, and Panel members are bound by rules governing confidentiality.

As all applications are treated in confidence, no application should be marked 'commercial-in-confidence'. Where an applicant is concerned about the application being referred to assessors who are regarded as inappropriate given the project's subject matter, he/she can indicate on the Assessor Nomination form the individuals to whom the application should not be sent.

Assessors, who are informed that applications are submitted in confidence, must certify that they have abided by confidentiality provisions and that they agree to destroy any copies of applications once requested review/s have been completed. Names of assessors are not released to applicants.

Some information from successful applications may be used in publications about research funding. Such details are restricted to the name and position of researcher/s, the host institution, the title of the project, the lay summary of the proposed research, the grant amount awarded and the statistical codes provided. Details of unsuccessful applicants are kept confidential.

All relevant documents are handled in compliance with the *Privacy Act 1988*, which sets standards for collecting, storing, using and disclosing, and accessing, personal information. They are also subject to the provisions of the *Freedom of Information Act 1982* and are available by making a valid application in accordance with the Act.

B2 Preparing the application

NOTE: Because of the large number of applications received each year and the complexities of the electronic processing requirements, applicants must comply strictly with the information and instructions set out in Part B. Failure to do so will cause the application to be excluded.

Applicants should complete the 1999 Research Fellowship Scheme Grant Application Form and attach the requested further documentation. They should submit the completed application through their institution's Research Office in time for it to reach DEETYA by 1 March 1998. The ARC will not be conducting interviews. Applications will be the prime source of information available to assessors and Panel members.

In view of demands placed on Panel members and assessors, and in the interests of equity, the ARC has determined that the maximum allowable length for the free-form textual section of the application is thirteen pages, presented in no less than 12 point type font, and set out under the following headings:

- Project objectives and significance (one page maximum);
- Critical assessment (three page maximum);
- Preliminary studies (one page maximum);
- Outline of design/procedures/methodologies (six pages maximum); and
- Resources and environment (two pages maximum).

This is in addition to:

- the application form itself; and
- an abbreviated CV of the applicant (two pages maximum) and publications list (limited to 1993–1997).

Where applicable, all applicants must supply:

- evidence of Australian residency status;
- a statement demonstrating special skills of non-Australian applicants;
- an eligibility exemption letter of approval or eligibility exemption request; and
- a single-page report detailing progress on any ARC-funded project of direct relevance to the current application, as asterisked in Question 14.

APD applicants only must also supply:

- (for Question 20), referee details and nomination of research supervisor or team leader;
- a referee report from research supervisor/team leader; and
- an abbreviated CV of the proposed research supervisor or team leader (one page maximum) plus publications list for the last five years.

Only applications complying with the above limits will be considered in the assessment process. Others will be regarded as ineligible and will receive no further consideration.

Only the original and one identical copy are required. Each must be printed single-sided and must not be photo-reduced. Medium-size Nal™ clips, not bulldog clips or staples, should be used to bind each application together, as other clips cause serious problems in the handling process.

The application process requires electronic scanning, which recognises only certain fonts. Thus, only the following type fonts are acceptable:

Arial
Courier
Palatino
Times New Roman
Helvetica

The minimum acceptable font size, assuming normal spacing, is 12 point. This applies to the entire application and to the subsequent provision of rejoinders to assessments and responses to Subpanel questions.

Applications that include colour graphs or colour photographs will not be accepted.

A checklist, included as the final page of Part B of these Guidelines, is provided to assist applicants as they compile their paperwork. It is not required as part of the application submission.

All applicants should note carefully the major reasons for excluding applications on the grounds of eligibility:

- failing to submit the application through the appropriate Research Office or CEO for certification;
- being engaged in an ineligible area of investigation;
- being engaged in an ineligible type of work;
- supplying inaccurate or incomplete information (see Part B, Section 1.3);
- not meeting the eligibility criteria;
- exceeding limits on the number of applications permissible;
- not following procedures for ARC-NHMRC coordination;
- committing any malpractice;
- designating the application as ‘commercial-in-confidence’;
- not complying with instructions about applications:
 - failing to observe page limits;
 - providing a curriculum vitae, contrary to instructions;
 - failing to list publications, limited to 1993–1997;
 - failing to provide progress report/s on ARC-funded projects, where directly relevant to the proposal;
 - not observing copying requirements;
 - using an unacceptable font and/or font size;
 - submitting colour photos or colour graphs, contrary to instructions;
 - failing to complete all relevant questions.

B2.1 Advice for completing the application form

The following information, numbered in accordance with the form, is provided to assist applicants to complete the required documentation as fully and accurately as possible.

Question 1 Research Fellowship category

PLACE a cross in the relevant box.

Refer to Part A, Section 8 for information on the different categories of, and eligibility for, ARC Research Fellowships.

Question 2 The applicant

ENTER your surname (family name), title (Dr, Prof, etc) and initials.

Question 3 Host institution/organisation

ENTER the name of the institution at which the Fellowship is to be held.

The application will not be accepted if it is not submitted through the Research Office of an institution in the Unified National System or through the Chief Executive Officer or equivalent of an other eligible organisation. The host institution must be certified in regard to various aspects of the application (Questions 25 and 26).

Question 4 Project title

INSERT a short descriptive title of no more than twenty words.

The project title should be precise and as informative as possible within the space provided. Please do not use quotation marks as they create problems for storing and using the information during the process of administering the grant.

Question 5 Project summary

PROVIDE a summary outlining in no more than 100 words, in lay person's terms, the aims of the research, its overall significance and expected outcomes.

It is most important that the summary be presented in clear, plain English with a minimum of terminology unique to the area of study. The clarity of this summary is very important because it is one of the most significant pieces of information used in assigning applications to the appropriate Subpanel. The summary will be used for the ARC Annual Report on Research Funding, a key public document on research, and may be used in press releases and other publicity materials. In addition, it will also be compared with the actual outcomes reported in the Final Report of the project and will be used in evaluating the effectiveness of the research project and research team.

Question 6 Keywords

USE up to six keywords to describe the research proposal.

These should be selected particularly carefully as the keywords will be used to aid in selecting assessors for the application. They should be of the form normally required for submitting an article for publication in a major refereed journal.

Question 7 Research classification codes

ENTER at least one code in each of the Field of Research Classification (FORC), Socio-Economic Objective (SEO) and ARC Category (CAT) code sections.

There is no advantage or disadvantage in marking more than one box, except to better classify the research proposed. The percentages must total 100%.

FORC code

The ARC and universities are required, together with other research agencies, to provide statistics to the Australian Bureau of Statistics (ABS) to classify research activity in Australia. The Field of Research Classification (FORC) codes used for this purpose, as detailed in Appendix D, are set out in a hierarchical structure, as follows:

SUBDIVISION	010000	MATHEMATICAL SCIENCES
Group	010100	PURE MATHEMATICS
Class	010101	Mathematical Logic, Set Theory, Number Theory, Group Theory

NOTE: n.e.c. means 'not elsewhere classified'.

USE at least one code at the detailed **Class** level but you may enter up to three **Class** level codes.

The relative importance of each code must be indicated by using a percentage, which must total 100 %, as the example below demonstrates:

FORC CODE	% distribution
010101	85
010199	10
010303	5
TOTAL	100

Please use only Class codes, not Subdivision or Group codes.

CHOOSE the codes that best represent the major focus of the project and any other relevant codes, if the project is multi-panel (see Part A, Section 9.1).

SEO code

The ABS also requires funding agencies and universities to provide statistics in respect of Socio-Economic Objectives, in order to further classify research activity in Australia. The SEO codes, as detailed in Appendix E, are set out in a hierarchical structure, as follows:

DIVISION 2		ECONOMIC DEVELOPMENT
SUBDIVISION	020000	PLANT PRODUCTION AND PLANT PRIMARY PRODUCTS
Group	020300	FORESTRY
Class	020301	Native Forests

NOTE: n.e.c. means 'not elsewhere classified'.

USE at least one code at the detailed **Class** level but you may enter up to three appropriate **Class** codes relevant to the proposal.

The relative importance of each code must be indicated by using a percentage, which must total 100 percent, as the example below demonstrates:

SEO CODE	% distribution
030101	85
030201	10
030401	5
TOTAL	100

Please use only Class codes, not Division, Subdivision or Group codes.

CAT code

The ARC Category Codes, as detailed in Appendix B, are used for directing each application to the appropriate Subpanel. The applicant should reflect where he/she believes the proposal should be considered, noting, however, that the RTCC is the ultimate judge about which Subpanel will handle each individual application.

ENTER at least one CAT code that most closely relates to the application.

If the application encompasses more than one discipline within one of the major Panels' areas of expertise, the selection of CAT codes should indicate this spread. If the proposal is truly multi-panel in nature (see Part A, Section 9.1), the primary ARC Category code should be shown first, followed by the other more widespread relevant CAT codes.

Question 8 Other codes

INDICATE whether the proposal relates to any of the Other codes by placing a cross in the relevant box/es:

- **Multi-Panel application**—where an application meets the criteria for consideration by the Multi-Panel Committee (Part A, Section 9.1 refers);
- **Member's application**—where the application involves a member of an ARC Committee, Panel, Subpanel or Working Group or the applicant fits into one of the following categories:
 - where the applicant has a personal relationship with a member;
 - in the case of APD applications, the applicant works with a member who is his/her direct supervisor;
 - where the applicant, if successful, will be working in the research group of a member; and
- **National Health and Medical Research Council**—where the same application is being submitted to the NHMRC (see Part A, Section 7.2).

Question 9 Host institution/organisation details

INSERT details of the proposed host institution.

All ARC applications for grants must be made through the host institution's Research Office (or equivalent). Please supply accurate, detailed and up-to-date information.

Question 10 Eligibility exemption

ATTACH a copy of the approval advice if exemption from the usual eligibility requirements for this Fellowship application has already been granted.

If you are seeking eligibility exemption with this application, attach a written request detailing the grounds for the request and indicating the category of exemption sought. See Part A, Sections 5.2 and 8 for eligibility exemption requirements.

Question 11 Academic qualifications

PROVIDE details of academic background, including prizes, distinctions or other special qualifications awarded in degree and/or postgraduate career and where and when held/awarded.

This information is to be shown under this question, rather than be solely included in the abbreviated CV to be provided.

Question 12 Details of past appointments held

PROVIDE information of past appointments.

Question 13 Individual details for Research Fellowship applicant at time of application

PROVIDE contact details that are correct at the time of submitting the application./

This allows the Research Office and/or DEETYA to communicate with applicants, as required.

NOTIFY the host institution of any changes to applicant details after the submission date.

That institution will in turn advise DEETYA. You should not include details of updates of publication records, or revisions to proposals, etc, as these changes will not be accepted after the closing date.

INCLUDE information on sex and age in order to assist ARC monitoring processes.

All applicants are asked to assist ARC monitoring processes by including information on sex and age. The ARC uses this data to analyse its processes and outcomes in order to ensure that all applicants are treated fairly and to provide the academic community with relevant statistics about the application round. Sex and age are not used by the RTCC in any way to determine if an individual application should be funded.

PROVIDE your current salary details.

This will allow the RTCC to determine the appropriate commencement level within the category sought. The dollar amount should show your gross income in Australian dollars.

PROVIDE details of your current position.

This will be used to judge your eligibility and to analyse other sources of research funding support in Australia.

ENTER one of the following in answer to 'Current Status Position':

- tenured
- non-tenured
- non-continuing
- postgraduate
- unemployed
- other (please specify)

PROVIDE information about your academic qualifications.

This is valuable in determining your eligibility and in preparing analyses of the qualification profile of Australian research.

ENTER the date you intend to start should you be successful.

Please note the limitations on commencement dates, as detailed in Part A, Section 12.1.

Citizenship

ENTER your country of citizenship.

If you are not an Australian citizen, the ARC needs the information requested. If you wish to be treated as an Australian citizen or permanent resident, you must provide evidence of your citizenship or residency status to the Research Branch by 1 July. If you are either a non-citizen or a non-resident of Australia, you will need to apply for a temporary residency before taking up the award. You will need to provide a statement demonstrating the special skills that you will bring to research in this country.

Question 14 Total research support (not applicable to APD applications)

LIST past support (1997) (P), current support (1998/1999) (C) and/or requested support (1999) (R) for all research projects or programs, and specify the source of each block of funding, including support from your own institution/organisation.

Do not include the 1999 Fellowship application (See Part A, Section 7).

MARK with an asterisk any support closely related to the present proposal.

SPECIFY the amount of time to be spent on each project or program.

Requiring applicants to specify the amount of time to be spent on each project or program (number of days out of a minimum of twenty-one working days per month available for all activities) allows the Subpanels to judge the applicant's level of other commitments. The RTCC reserves the right to check with other funding agencies regarding researchers' time commitments.

Question 15 Association with an ARC Large Research Grant applications

INDICATE if the Research Fellowship application is associated with any concurrent ARC Large Research Grant application.

See Part A, Sections 7.1.1 and 7.1.2 for an explanation of the procedures to be followed.

INDICATE whether you are also requesting the salary for the prospective Research Fellow as a Research Associate or Senior Research Associate in the budget of any Large Research Grant application.

If you are awarded the Fellowship, the ARC contribution towards the salary requested for a Research Associate or Senior Research Associate on a Large Research Grant application will be deleted.

INDICATE whether any Large Research Grant application is essential for the Fellowship to be undertaken.

Note that at most two Large Grant applications may be associated with any Chief Investigator (see *Large Research Grant Scheme Guidelines*, Part A, Section 10).

If you are applying as a Chief Investigator for two Large Grants, both must be shown at Question 14 and those relevant to the Fellowship application detailed in Question 15.2.

Question 16 Selection of host institution

JUSTIFY, briefly, why you selected this institution.

Question 17 Mobility

INDICATE your reasons for your decision if you are electing to remain at the institution where your PhD was awarded, and cannot demonstrate research experience elsewhere.

See Part A, Section 8.1 under 'Selection Criteria'.

Question 18 Certification by the applicant

CERTIFY, to the best of your knowledge, that all information you have provided is correct and that you have completed all the required documentation.

In doing so, you are certifying that:

- all the details on the application form are true and complete;
- you have complied with the Guidelines and, if successful, will accept the *Conditions of Award* relating to ARC Research Fellowships;
- you understand and agree that all statutory and other requirements, as detailed below, must be met before the proposed research can commence; and
- in submitting this application, you consent to its referral to assessors, other ARC Schemes and/or other funding agencies for consideration.

Statutory and other requirements

You must certify that you agree that all statutory and other requirements, as listed below, must be met before the proposed research can commence. It is your responsibility to advise the administering institution if the proposed project involves any of these requirements. The administering institution must ensure that appropriate clearance is obtained before the project commences.

Importation of experimental organisms

Applicants proposing to import experimental organisms must obtain agreement in principle from the appropriate Commonwealth and State authorities.

Research involving humans or animals

Where research involves humans or animals, the project may not commence without clearance from a recognised Ethics Committee, in accordance with the relevant NHMRC Code of Practice.

Deposition of biological materials

At the end of a grant, any biological material accumulated during the course of the research should be offered to an Australian institution with statutory responsibility for the control of such material. If no other institution takes control of the biological material, then the administering institution shall dispose of the material in accordance with its own established safeguards.

Genetic manipulation

Where a project involves the preparation and/or use of recombinant nucleic acids constructed *in vitro* from sources that do not ordinarily recombine genetic information, you must obtain approval by the institution's Biosafety Committee or the Genetic Manipulation Advisory Committee (GMAC).

Ionising radiation

Where a project involves the use of ionising radiation, project personnel must have appropriate training and hold a current licence issued by the appropriate State authority.

Social science data sets

Applicants in the social sciences should note that they should lodge any machine-readable data arising from their research with the Australian Consortium for Social and Political Research Inc (ACSPRI) or any other appropriate archive for secondary use by other investigators. This should normally be done within two years of the termination of the fieldwork.

Question 19 Statement from Head of Department (or equivalent) at host institution

Question 19.1 Statement

PROVIDE a statement from the Head of Department at the proposed host institution showing that appropriate facilities and support will be available for the applicant, if awarded a Fellowship.

See Part A, Section 6.3.

Question 19.2 Statement

PROVIDE a statement from the Head of Department at the proposed host institution on the role the Fellow would be expected to fulfil in the Department.

NOTE: If you are the Head of Department, the statements above and the certification below must be completed by your immediate superior.

Question 19.3 Certification by Head of Department and Pro Vice-Chancellor (Research) or equivalent or delegate

CLEAR each application through the appropriate Head of Department before it is forwarded to the Research Office for certification by the Pro Vice-Chancellor (Research) or equivalent or delegate.

This is to ensure that the Head of Department is aware of, and has agreed to, the proposed research given the facilities of his/her Department. The Pro Vice-Chancellor (Research) is then required to certify that the research is appropriate, that infrastructure and accommodation can be provided and that, if the research requires the meeting of statutory requirements, clearance will be sought from the relevant body before the project can proceed.

NOTE: All signatures must be obtained before submitting the application to DEETYA.

Question 20 Referee details and nomination of research supervisor/team leader

NOTE: Only Australian Postdoctoral Fellowship applicants should answer this question.

PROVIDE contact details for, and **INDICATE** the status of, the referee who is providing the required Referee Report.

If the proposed research supervisor/team leader is different from the referee, please provide his/her contact information.

In either case, give reasons for the nomination of this person as the research supervisor/team leader, indicating why he/she is especially suitable.

ENSURE that you have attached an abbreviated CV (one page maximum) of the proposed research supervisor or team leader to the application.

This CV should detail career history, distinctions and research achievements and provide a publication list, including accepted papers only, covering the period 1993–1997. The publication list should be attached as extra pages to the one-page maximum for the CV.

Question 21 Project objectives and significance (one page maximum)

STATE the broad long-term objectives and **DESCRIBE** concisely and realistically what the specific research described in your application is intended to accomplish.

Describe the significance of the proposed research in the context of the relevant field.

Question 22 Critical assessment (three page maximum)

EVALUATE existing knowledge and specifically identify the gaps the present proposal is intended to fill.

Question 23 Preliminary studies (one page maximum)

DESCRIBE any preliminary work that has been carried out towards the project being proposed in your application.

Question 24 Outline of design/procedures/methodologies (six pages maximum)

OUTLINE the experimental design and/or the procedures to be used to accomplish the specific aims of the project.

Where appropriate, describe any new methodology and its advantage over existing methodologies. Discuss potential difficulties and limitations of proposed procedures and alternative approaches, where feasible, to achieve the aims. Provide a tentative sequence or timetable for the investigation.

Question 25 Resources and environment (two pages maximum)

DESCRIBE the facilities to be used at the host institution and briefly **INDICATE** its pertinent capabilities, proximity and extent of availability for the project. Indicate the course and extent of any funding available to the project.

Curriculum vitae (two page maximum) plus full publication list

PROVIDE details of career history, awards, distinctions and research achievements, and a full list of publications, including page numbers, separated into:

- refereed papers as sole author,
- refereed papers as joint author,
- books,
- chapters,
- conference papers, and
- other publications.

Show only details of articles that have been accepted or published, or of books that have been published or are in press.

Referee report

NOTE: Only Australian Postdoctoral Fellowship applicants should answer this question.

SUBMIT with your application a referee report, on the form provided in Appendix A, prepared by your proposed research supervisor/team leader or current supervisor.

Question 26 Applicant nominated assessors

NOMINATE two persons who are qualified to assess the proposal.

If there is only one nomination, the Subpanel reserves the right not to approach that assessor.

ENSURE that you provide full addresses of nominated assessors, including phone, fax and e-mail details.

APPROACH each nominee to ascertain that he/she is willing and available to undertake the assessment, if requested.

Nominated assessors:

- should not be involved in drafting or commenting on the application prior to submission;
- must not be members of the ARC, the Research Training and Careers Committee (RTCC), the Research Grants Committee (RGC) or the ARC Discipline Subpanels;
- must not be close family members of the applicant;
- must not, normally, be from the applicant's own institution; and
- should not have worked or published jointly with the applicant in the past five years.

The ARC recognises that, in some instances, the last two criteria may cause difficulty, particularly for researchers very early in their careers. In such cases, this requirement will not be enforced, provided that any applicant who nominates assessors who do not meet the above criteria specifies the connection between the assessor and the applicant on the nomination form.

Question 26.1 *Assessor not to be used*

IDENTIFY, if you wish, a particular researcher, or researchers, who should not be approached to provide an assessment.

EXPLAIN in the appropriate reason box your reasons for requesting that exclusion.

B3 Submitting applications

A complete application consists of the original application form and required attachments in the correct order and one identical copy. The Research Office may require a further hard copy for internal records.

While the deadline for application submission to DEETYA is 1 March 1998, each institution will set its own closing date for applications and will draw up specific instructions for keying in data and text, as well as arranging for electronic submission to DEETYA.

Each Research Office should include a covering letter listing all the applications despatched by the institution:

by mail, to:

The Director
Research Grants and Training Section
Research Branch
Location Code 731

by courier, to:

The Director
Research Grants and Training Section
Research Branch
Department of Employment, Education,

Department of Employment, Education
Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601
fax: (02) 6240 9781 *or*
telephone: (02) 6240 9694 *or*
e-mail: rbfellow@deetya.gov.au

Training and Youth Affairs
Level 3, Times Square Building
16–18 Mort St
CANBERRA ACT 2601
(02) 6240 7324
(02) 6240 9714

B4 Checklist for completeness

This checklist is provided to guide researchers. It should **not** be submitted with the application.

A complete application package consists of the original and one identical copy of the required documentation, which should be submitted in the following order:

For all applicants—

- The application form
 - Submit Questions 21–26 as the final pages of the application.

- The free-form text
 - It should consist of no more than thirteen pages.
 - Set it out under the following headings:
 - project objectives (one page maximum);
 - critical assessment (three pages maximum);
 - preliminary studies (one page maximum);
 - outline of design/procedures/methodologies (six pages maximum); and
 - resources and environment (two pages maximum).

- Abbreviated curriculum of applicant
 - It should consist of no more than two pages.

- Publications list

For APD Fellowship applicants only—

- referee report from research supervisor or team leader; and
- abbreviated CV of proposed research supervisor/team leader

Where applicable—

- evidence of Australian residency status;
- statement demonstrating special skills of non-Australian applicants; and
- copy of eligibility exemption letter of approval or eligibility exemption request.

For APD applicants only—

Submit as the final three pages of the completed application—

- Question 20
- Questions 18/19/19.3 (Certification)
- Question 26 (Applicant-nominated assessors) should be submitted as the last page of your application.

Please discuss the four-year APD option with your Head of Department so that a rapid decision on this option can be made after an offer has been made.