



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

Research Fellowships Scheme

Guidelines for Year 2001 Grants



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Acronyms

| | |
|--------------|--|
| APD | Australian Postdoctoral Fellowship |
| ARC | Australian Research Council |
| ARF | Australian Research Fellowship |
| DETYA | Department of Education, Training and Youth Affairs |
| HEFA | Higher Education Funding Act |
| IAS | Institute of Advanced Studies |
| NHMRC | National Health and Medical Research Council |
| QEII | Queen Elizabeth II Fellowship |
| RGFC | The Research Grants Committee and the Research Training and Careers Committee operating jointly and referred to as the Research Grants and Fellowships Committee |
| SRF | Senior Research Fellowship |

1. Introduction

The Higher Education Targeted Research Programme provides funding to teams or individuals for worthy and high quality research through several application-based and formula-driven grant schemes. These schemes aim to maintain and strengthen Australia's knowledge base and research capabilities by developing an effective research and research training system, focused on the higher education sector.

2. Objectives

The Research Fellowships Scheme aims to provide opportunities for:

- pursuing internationally competitive independent research, by those who have demonstrated a clear commitment to high-quality research; and
- career development for researchers, aiming 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.

3. Description

Prospective applicants should be aware that the competition for Research Fellowships is intense. In recent years there have been approximately eight applications for every available Research 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.

There are three Research Fellowship categories and, within those categories, four types of Fellowship:

- **Australian Postdoctoral Fellowship (APD)**
APDs provide opportunities for postdoctoral-level researchers to undertake research of national and international significance, and to broaden their research experience.
- **Australian Research Fellowship/Queen Elizabeth II Fellowship (ARF/QEII)**
ARFs and QEII provide opportunities for established researchers to undertake research of national and international significance. QEII encourage research in Australia by postdoctoral graduates of exceptional promise and proven capacity for original work.
- **Senior Research Fellowship (SRF)**
SRFs 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.

Details of eligibility and selection criteria for each Fellowship type are at Appendix 1.

3.1 Type of research supported

The Scheme supports individual researchers with a clear commitment to excellent pure or applied research projects in all disciplines except medicine and dentistry.

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

3.2 Areas of investigation/work not supported

Research in the fields of clinical medicine and dentistry is not supported as the NHMRC has responsibility for funding research in those areas.

The Research Fellowships Scheme does not support researchers to undertake:

- **scholarly investigations** which, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Such projects as uncritical bibliographical compilations and purely descriptive catalogues or editions, which do not involve original research, are not funded;
- **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;
- **production of teaching materials**, even though some research may be involved;
- **compilation of 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; and
- **development of research aids and tools** (including computer programmes) 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.

3.3 Institution contribution

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

- 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, email and Internet services.

4. Eligibility

4.1 Applicant eligibility

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 a Research 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 of Research Fellowship.

Normally a PhD is a requisite. In the case where a PhD has been acquired some time after a productive research career, the Australian Research Council's (ARC) Research Grants and Fellowships Committee (RGFC) needs to look at where the discipline lies and whether the applicant has changed research direction. Applicants who do not have a PhD must submit an eligibility exemption request or justify in their application that their research has been recognised as PhD equivalent.

Applicants for QEII/ARF/SRF awards not holding a PhD would need to demonstrate that their research record is equivalent to a PhD plus the required number of years of postdoctoral experience.

Details of eligibility and selection criteria for each Fellowship type are at Appendix 1.

4.1.1 Eligibility exemption request

If, after reading these guidelines, a researcher is unsure as to his/her eligibility for a particular Fellowship, he/she should consult the institution's Research Office in the first instance. If the applicant wishes to submit a specific eligibility exemption request, this should be lodged in writing, through the institution's Research Office, with the Executive Manager, Research Programme Management Group in DETYA by 31 January 2000, ie. one month before the due date for submitting Research Fellowship applications. Each applicant will be advised of the decision regarding eligibility 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 by the RGFC.

4.2 Institution eligibility

Research Fellowships are tenable on a full-time basis at Australian higher education and other institutions. 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.

SRFs and ARFs are not tenable at the IAS at the Australian National University or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources eg. Defence Science and Technology Organisation (DSTO), Commonwealth Scientific and Industrial Research Organisation (CSIRO), Australian Geological Survey Organisation (AGSO), State Research and Development (R&D) organisations and NHMRC block-funded institutions.

Conversely, APD and QEII Fellowships are categorised as training awards and, as such, are tenable at the IAS at the Australian National University or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources eg. Defence Science and Technology Organisation (DSTO), Commonwealth Scientific and Industrial

Research Organisation (CSIRO), Australian Geological Survey Organisation (AGSO), State Research and Development (R&D) organisations and NHMRC block-funded institutions.

4.3 Cross-scheme eligibility

If a funding request for any project, salary or equipment is being submitted to any other funding body, each application must be cross-referenced. Applicants must indicate the level of funding obtained, or being sought, from all other schemes and list all existing research funding from all sources.

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

4.3.1 Links with Large Research Grants

In 2000, the former Research Grants Committee and Research Training and Careers Committee will operate jointly to consider applications under both the Large Research Grants and the Research Fellowships Schemes.

The ARC wishes to ensure that the research proposed by those appointed as Fellows, particularly of those appointed as a SRF, is amongst the highest quality supported by the ARC and that their proposed research is adequately funded.

4.3.1.1 Concurrent applications for a Large Research Grant and an ARF/QEII or SRF

Applicants for ARF/QEII or SRF level Fellowships are required to either:

- apply concurrently for a Large Research Grant to support their proposed research over the initial three years of their Research Fellowship; or
- address clearly how they intend to support their proposed research.

Failure to do so is grounds for exclusion.

Where such concurrent applications are submitted:

- both applications must indicate that support is being sought from the other Scheme;
- the Research Fellowship application must indicate clearly the additional work and outcomes anticipated for the fourth and fifth years of the Fellowship. Research Fellowship applications which do not build upon the initial three-year project described in the Large Research Grant application are unlikely to be competitive; and
- in the case of a QE11 applicant who intends to work at the IAS or a research organisation outside the higher education sector that is funded primarily for research from State or Commonwealth Government sources the applicant must apply as and meet the conditions of a Partner Investigator. All other QEII applicants and all ARF and SRF applicants must be named as the sole Investigator on a Large Research grant application.

In these circumstances, the RGFC will:

- deem the Large Research Grant and the Research Fellowship to be mutually essential;
- make every effort to approach common assessors to prepare reports on the two applications; and
- liaise closely throughout the assessment cycle to ensure that the concurrent applications are not jeopardised in the process.

Applicants who do not apply for a Large Research Grant concurrently with their Research Fellowship application should note that the RGFC will expect any subsequent application for a Large Research Grant during the initial three years of the Fellowship to explain in detail why Large Research Grant

funding is now required. The absence of such an explanation, which the RGFC would expect to indicate significant developments since the original application, is grounds for exclusion.

4.3.1.2 Application for a Large Research Grant by the supervisor of an APD Fellowship applicant

Applicants for APDs may apply as a Chief Investigator for Large Research Grant funding to support their application under the conditions outlined above in section 4.3.1.1. However, the RGFC is concerned that many APD applicants will not have competitive track records, even when judged relative to opportunity. Thus, the nominated supervisor of a proposed APD Fellow may apply, if eligible, for a Large Research Grant to support the work of the APD Fellow. In these circumstances:

- the existence of the concurrent Large Research Grant application must be indicated in the APD Fellowship application;
- the APD Fellowship application must be the intellectual work of the APD Fellowship applicant and the Large Research Grant must be the intellectual work of the applying Chief Investigator(s);
- the relationship between the research proposed in the Large Research Grant application and that proposed in the APD Fellowship application must be clearly stated, particularly if the Large Research Grant has multiple Chief Investigators. Failure to do so is grounds for exclusion of both applications;
- the APD Fellowship application must indicate whether the project will be viable if the Large Research Grant is unsuccessful, and vice versa for the Large Research Grant application. The RGFC reserves the right to deem such applications as mutually essential if, in their opinion, the APD cannot be supported otherwise and both projects appear to be significantly the same; and
- the Large Research Grant application may seek funding for a Research Associate as an alternative salary if the APD Fellowship application were to be unsuccessful. Unless specifically stated (and justified) otherwise on the Large Research Grant application, the RGFC will assume that this position is unnecessary if the APD Fellowship application is successful and will delete this budget item under those circumstances. (Note: The previous classification of 'nominated Research Associate' has been discontinued.)

4.3.2 Concurrent applications for APDs to the Research Fellowships Scheme and the Strategic Partnerships with Industry - Research and Training (SPIRT) Scheme

It is recognised that the APD and the APDI component of the SPIRT Scheme have distinctive objectives and applicants can apply simultaneously to both schemes. However, a person-matching search across the grants database will be carried out to identify applicants for both APDs and the APDI component of the SPIRT Scheme, shortly after the funding meetings for both schemes. If an applicant is successful in both schemes, he/she will be asked to make a choice at the time of offer.

1.1.1 Funding under the ARC or the NHMRC

In some instances, it may not be clear whether an application is more appropriately considered by the ARC or the NHMRC. In these cases, a two-page summary outlining the proposal should be forwarded by the applicant through their institution's Research Office to DETYA by 31 January 2000. A committee comprising representatives from both the NHMRC and the ARC will use the summary to decide which scheme is more appropriate for the application. 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, s/he 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. The ARC will then consider which is the more appropriate granting scheme. The

applicant will be advised in early May, from which time the proposal will proceed through only one scheme.

If an application has potential clinical overlap and neither of the above processes are observed, the application will be excluded, regardless of whether or not it falls under the aegis of the ARC.

5. Application Process

As the application is the prime source of information available to the selection committee, applicants should submit their projects as mature research plans ready for implementation. The application should contain all the information necessary for assessment of the project without the need for further written or oral explanation, or for reference to additional documentation, unless requested by the selection committee. All details in the application, particularly concerning any successful grants, must be current.

5.1 Application procedure

Applications consist of three parts:

- application form;
- additional text; and
- curriculum vitae and supporting documentation.

All documents must be written in English and must comply strictly with the format and submission requirements. Each part must be included in the application and submitted, through the institution's Research Office, by the closing date of **1 March 2000**.

5.1.1 Application form

Applicants must use the application form available from the institution's Research Office and the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#fellowship>

The following advice may assist you to complete the application form.

The numbers refer to the relevant sections in the application form.

Total number of sheets contained in this application

Enter the number of sheets of paper being submitted. This is used for scanning and image storage purposes.

Sub-panel code

Enter the code for the discipline sub-panel under which the application should be considered. If no sub-panel is selected, the application will be electronically assigned to a sub-panel based on the Research Fields, Courses and Disciplines (RFCD) classification(s) entered.

The RGFC reserves the right to transfer an application to a more appropriate sub-panel.

Biological Sciences

- A0 Molecular and Cell Biology
- A1 Plant and Animal Biology

Engineering, Earth and Applied Sciences

- A3 Earth Sciences
- A4 Engineering - Information Technology and Electrical Engineering
- A8 Engineering - Civil, Mechanical and Chemical

Humanities and Social Sciences

- A5 Humanities
- A7 Social Sciences (excluding Education, Psychology, Linguistics and Nursing)
- A9 Social Sciences (Education, Psychology, Linguistics and Nursing)

Mathematical, Physical and Chemical Sciences

- A2 Chemistry
- A6 Physics and Mathematics

1. Organisation to administer grant

Enter the name of the organisation where the first-named Chief Investigator will be employed during the period of the grant.

1.1 Australian Business Number (ABN)

Enter the ABN for the administering organisation.

4. Summary

The summary must be presented in clear, plain English using the minimum of terminology unique to the area of study to assist assignment of the application to appropriate assessors. It may also be used by the Commonwealth in press releases and publicity material, and for evaluation purposes.

6. Classifications and other statistical information

- 6.1** Select up to six keywords to describe the proposed research. You should select the key words carefully, as they are considered when discipline panels are selecting assessors for the application. They should be of the kind normally required for submitting an article to a major refereed journal.
- 6.2** Enter at least one code under each of the RFCD and Socio-Economic Objective (SEO) classifications.

The **RFCD** classification defines the research according to discipline areas. There is provision for up to three codes on the application form. The relative importance of each code should be indicated by using a percentage (rounded to the nearest multiple of 10) which must total 100%. If the application is multi-disciplinary, codes from more than one discipline will need to be identified.

The **SEO** classification indicates the sectors which are most likely to benefit from the research. There is provision for up to three codes on the application form. The relative importance of each code

should be indicated by using a percentage (rounded to the nearest multiple of 10) which must total 100%.

RFCD and SEO classifications are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap2.htm#class>

8. Applicant details

8.1 Details of the applicant are gathered for the purposes of communicating with him/her, determining eligibility, and conducting data and statistical analysis in relation to equity and other issues. Please notify the host institution of any changes to applicant details after the submission date.

8.1.1 To simplify data entry, applicants have the option of providing their unique GAMS Id and abbreviated details instead of their full address and other personal details. (GAMS is the secure Grant Application Management System used by DETYA in the selection process.) If applicants provide their GAMS Id and abbreviated details, the application will be linked to their personal details record on GAMS which contains their full address, expertise and other personal information. Obviously not all applicants will have a GAMS Id. Those who do not will need to provide their full details. The success of an application will in no way be linked to the details provided and applicants will be neither advantaged nor disadvantaged by using either their GAMS Id or their full details. Applicants can obtain their GAMS Id from their institution's Research Office.

8.1.2 This section must be completed by **all applicants who have not provided a GAMS Id in Section 8.1.1 above.**

8.1.3 This section must be completed by **all applicants.**

Academic salary details

Show your gross income in Australian dollars. Current salary details are sought to enable the determination of an appropriate commencement salary level within the category sought.

Select from one of the following for your current position status:

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

Citizenship

If you are not an Australian citizen, you must provide evidence of your citizenship or residency status to the Higher Education Research Branch of DETYA by 1 July 2000.

If you are either a non-citizen or non-resident of Australia, you will need to apply for temporary residence before taking up the grant. You will need to provide a statement demonstrating the special skills that you bring to research in this country.

9. *Certifications*

By signing this document, the applicant and the Head of Department (or equivalent) are certifying that:

- all the details on the application form are correct;
- the applicant has complied with the Research Fellowships Scheme Guidelines for Year 2001 Grants and, if successful, will accept the associated Conditions of Grant;
- he/she understands and agrees that all statutory and other requirements, as detailed in the Conditions of Grant, must be met before the proposed research can commence; and
- in submitting this application, he/she gives consent to its referral to assessors, other ARC/DETYA Schemes and/or other funding agencies for consideration.

5.1.2 **Additional text**

Applicants should note that applications are considered by a committee of which membership may include people who are not specialists in the field of the application. Consequently, the project and its expected outcomes should be described in a way that can be appreciated by all committee members (both specialist and non-specialist). This additional text, in **no more than six pages** and within the required format, should provide details of the research project under the following headings:

1. the objectives of the research project;
2. the significance, impact and outcomes of the project;
3. any preliminary studies you have carried out;
4. an outline of the design/procedures/methodologies; and
5. the resources required to complete the project;

and include:

- a justification of the choice of institution and, in particular, the Department/Centre/Group within that institution; and
- a description of the facilities and support at the institution relevant to the project, including the intellectual environment.

References should be included in the six pages of additional text.

5.1.3 **Curriculum vitae and supporting documentation**

All applicants must provide:

- an abbreviated CV (a maximum of **two pages**);
- a relevant publication list for the last five years; and, **where applicable**,
- evidence of Australian residency status; or
- if non-Australian, a statement demonstrating special skills; and
- an eligibility exemption letter of approval/eligibility exemption request, if applicable.
- a report detailing progress for each project which received funds in 1999 under the Large Research Grants, Small Research Grants, Research Fellowships and/or SPIRT Schemes. A maximum of one page may be provided for each project.

In addition, APD Fellowship applicants only must provide:

- an abbreviated CV of their proposed research supervisor/team leader (a maximum of **one page**), including a relevant publication list for the last five years; and
- a referee report from his/her proposed research supervisor/team leader or from his/her current supervisor for which the proforma is available at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#fellowship>

5.1.4 Application format

All pages should be in black type, size 12 font on white A4 paper, single-sided, and unbound, with at least 1 cm margins on each side.

As applications are scanned electronically only the following type fonts should be used: Arial, Courier, Palantino, Times New Roman and Helvetica. Variants such as mathematical typesetting languages may also be used.

Colour graphs or colour photographs may be included but they will be reproduced in black and white.

A table of contents, with page referencing, is to be included at the beginning of the additional text. This page will be additional to the six pages of additional text and must be included in the number of sheets entered on the application form.

The additional text and the curriculum vitae and supporting documentation should be page numbered consecutively, starting from page one of the additional text.

5.1.5 Copies of application

An original and ONE IDENTICAL copy only are required. The application must be clipped with NAL clips, not stapled, and submitted in the following order: application form, additional text, and curriculum vitae and supporting documentation.

5.1.6 Application submission

All applications must:

- be signed by the appropriate persons on the Certifications page of the application form;
- identify the name, address and telephone number of an appropriate contact officer in the institution/research body; and
- be submitted by the institution's closing date, through the Research Office of the administering institution.

Late additional pages or replacement pages will not be accepted after submission and applications received after 1 March 2000 will not be considered for funding.

The Research Office will submit paper copies of the application, with a list of all applications despatched,

by **mail**, to:

Executive Manager
Research Programme Management Group
Higher Education Research Branch LC 121
Department of Education, Training

by **courier**, to:

Executive Manager
Research Programme Management Group
Higher Education Research Branch
Department of Education, Training

5.2 Timetable

| <i>Month</i> | <i>Year</i> | <i>Event</i> |
|------------------|-------------|---|
| 31 January | 2000 | Due date for submission of requests for eligibility exemption and two-page summaries relating to ARC/NHMRC overlap |
| 7 February | 2000 | Advice of outcome of ARC/NHMRC coordination and Fellowship eligibility exemption requests |
| 1 March | 2000 | Closing date for applications to DETYA Note: Each institution will set its own internal closing date |
| 1-5 May | 2000 | Initial exclusion of ineligible and uncompetitive applications and selection of assessors for the remainder |
| 8-19 May | 2000 | Institutions and applicants notified of unsuccessful applications. Requests for assessments forwarded to assessors for remaining applications |
| 21 June | 2000 | Due date for receipt of assessor reports |
| July | 2000 | First round appeals heard |
| Mid July | 2000 | Assessor reports sent to remaining applicants for written rejoinder |
| 4 August | 2000 | Due date for applicants' one-page rejoinders |
| 21-25 August | 2000 | Preparation of funding recommendations for ARC endorsement |
| October/November | 2000 | Recommendations submitted to the Minister for approval and announcement of Research Fellowships and advice to applicants |
| December | 2000 | Final round appeals heard |

5.3 Limit on number of applications

An applicant may submit one application only, through one institution only, in one category only.

As indicated in section 4.1.1, there will be no opportunity for an application to be re-categorised after submission, either by the applicant or by the RGFC.

6. Selection and Approval Process

6.1 Selection criteria

The following selection criteria are common to all four types of Research Fellowship:

- 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 refereed publications;
- the quality of the aims, significance, research plan and methodology of the project application; and
- the quality of the research environment and the extent of facilities and infrastructure to be provided to support the research application.

Details of eligibility and selection criteria for each Fellowship type are at Appendix 1.

6.2 Selection procedure

Assessment of applications is undertaken by a selection committee which may seek advice from appropriately qualified persons. The selection committee prepares funding recommendations which are submitted to the ARC for endorsement and then to the Minister for approval. The ARC has procedures for declaring conflicts of interest and for members to withdraw from consideration of particular applications.

Applicants may name one person whom they do not wish to assess the application. Detailed written justification, which will be considered by the RGFC, must be submitted as a separate letter and it **SHOULD NOT** accompany your application. The letter should be sent to:

Scheme Manager
Research Fellowships Scheme
Higher Education Research Branch LC 121
Department of Education, Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601

Further details of the selection procedure are at Appendix 2.

6.3 Offer of grant

Following the Minister's approval, the successful administering institution will be informed by DETYA in a letter of offer which will indicate the funding to be provided and include the Conditions of Grant.

6.4 Conditions of grant

Applicants should familiarise themselves with the Conditions of Grant which are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#fellowship>

Each Fellow will be expected to take up duty between 1 January 2001 and 30 June 2001. 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 2001.

Existing Fellows appointed to either a higher category of Fellowship or a second SRF will be required to take up the grant no later than 30 June 2001.

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

The Vice-Chancellor, his/her delegate or equivalent officer will receive the Conditions of Grant incorporating an Annexure detailing all Research Fellowships to be administered by the institution. To accept the offer, he/she must sign the Conditions of Grant, agreeing to the terms and conditions specified which include the following specific provisions:

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

The Conditions of Grant may also include other requirements such as dependence on the acquisition of funding to support the Fellowship in the case of a Senior Research Fellow.

7. Appeals Process

Appeals will be considered only against process issues and not against panel decisions or assessor ratings and comments. Appeals must be made on the appeals form available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#fellowship>

The form must be lodged through the institution's Research Office and be received, **within 28 days** of the date on the letter notifying the outcome of applications, by:

The Appeals Officer
Higher Education Research Branch LC 121
Department of Education, Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601

8. Grant Administration

8.1 Reporting requirements

Institutions are required to submit to DETYA:

- an **Exceptions Report** on grants that have financial exceptions by 1 November in the calendar year for which they were granted;
- an **End of Year Report** on the expenditure of funds by 31 March in the year following the calendar year for which they were granted;
- an **Annual Progress Report** on the project by 31 March in the year following the calendar year for which funds were granted;
- a **Final Report** on the project six months after completion of the Fellowship; and
- an **Audited Financial Statement** by 30 June of the year following the year of the grant, in accordance with sub-section 23(5) of the *Higher Education Funding Act 1988* (HEFA).

DETYA reserves the right to suspend payment of further instalments of any current grant until the appropriate reports have been received and assessed as satisfactory.

8.1.1 Failure to provide reports

Where an institution fails to submit satisfactory reports, as required, the Minister may, under section 108 of the HEFA, determine that funds have not been used in accordance with conditions applicable to the grant, and that all or part of the grant must be repaid. In this case, DETYA may withhold the remainder of the institution's payments under the Scheme for the current year or initiate recovery of grant monies.

8.2 Monitoring and evaluation

Reviews of ARC/DETYA schemes are undertaken periodically, as deemed necessary. Persons nominated by DETYA are to be given full access to all accounts, records, documents and premises relevant to the research being funded by DETYA.

8.3 Transfer of grant

Grant payments are made to the institution at which the Fellow is employed. If, during the term of the research funding, a transfer to another institution is considered necessary, prior approval must be sought from DETYA.

8.4 Financial management

8.4.1 Payments

The Scheme operates on a calendar year basis. Subject to appropriations, payment of funds will be made to institutions in regular instalments, in accordance with approved payment arrangements made under section 111 of the HEFA. Funds must only be used for purposes approved under the Scheme otherwise they must be returned.

Please note: The Fellowship represents the maximum contribution that may be paid as salary to the Fellow by the Commonwealth 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. Research Support Grant funds must not be used for this purpose.

8.4.2 Carryovers

As grants are made for the specified calendar year, carryovers beyond 31 December of the year in which the grant was made require approval. Carryover requests must be made in the End of Year Report. Only in exceptional circumstances will funds be carried over for more than twelve months.

8.4.3 Recoveries

Any funds which have not been spent, or are not to be carried over, will be recovered by DETYA, following advice provided in the End of Year Report, in accordance with section 108 of the HEFA.

9. General Information

9.1 Roles and responsibilities

Broadly, roles and responsibilities under the Higher Education Targeted Research Programme are as follows.

9.1.1 The Minister

The Minister for Education, Training and Youth Affairs, under the HEFA, has responsibility for approving:

- the mechanism for allocation of funds awarded for research;
- research funding schemes' objectives, guidelines and associated conditions;
- the expenditure, carryover and recovery of Research Programme funds; and
- variations to grants and the reallocation of unused funds.

9.1.2 Australian Research Council

The ARC, under the *Employment, Education and Training Act 1988*, provides advice on research policy, and recommendations on the allocation of funding resources, to the Minister.

9.1.3 DETYA staff

Staff of the Higher Education Research Branch, DETYA, on behalf of the Minister's delegates, are responsible for:

- providing advice to the Minister on the allocative mechanisms;
- providing advice to the Minister, the ARC and institutions on the operation of the schemes; and
- administering the range of research funding schemes and mechanisms, including providing secretariat support to the ARC during selection meetings.

9.1.4 Higher education institutions and other organisations

Research Offices of higher education institutions and other organisations are the first points of contact for parties interested in grant opportunities and are responsible for:

- maintaining records on the receipt and expenditure of grant funds;

Deleted:

- exercising quality control over grant applications; and
- ensuring compliance with grant conditions.

9.2 Privacy of individuals

Documents containing personal information are handled and protected in accordance with the provisions of the *Privacy Act 1988* which sets standards for the collection, storage, use and disclosure of, and access to, personal information. Personal information is disclosed only with permission of the individual to whom it relates or where the Act allows.

9.3 Freedom of information

All documents are subject to the *Freedom of Information Act 1982* unless exempt in accordance with the provisions of the Act.

9.4 Confidentiality

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

9.5 Intellectual property

The institution must adhere to an intellectual property policy, approved by the institution's governing body, which has as one of its aims the maximisation of national benefits arising from research.

9.6 Incomplete/misleading information

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

If the RGFC believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the matter will be referred to one of DETYA's Investigation and Compliance Units for investigation. The Commonwealth Government is committed to protecting its revenue, expenditure and property from any attempt, either by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees to gain financial or other benefits by deceit.

Examples of malpractice include, but are not restricted to:

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

9.7 Insurance and liabilities

By accepting funds under an ARC/DETYA research scheme, institutions agree to indemnify the Commonwealth from any expense arising from any action that may be made or brought against the Commonwealth resulting from activities funded under the Scheme. Institutions are responsible for taking out appropriate insurance.

9.8 Contact points

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

Enquiries about this Scheme may be addressed to:

Scheme Manager
Research Fellowships Scheme
Research Programme Management Group
Higher Education Research Branch LC 121
Department of Education, Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601
Fax: (02) 6123 6899
Email: rbfellow@detya.gov.au

Web site address: <http://www.detya.gov.au/highered/research/grants/schemes.htm>

Appendix 1: Applicant eligibility and selection criteria for each type of Research Fellowship

Australian Postdoctoral Fellowship (APD)

Number of Fellowships available, tenure details and support entitlements

In 2001, fifty-five APD Fellowships, with a standard tenure of three years, are expected to be offered.

For each APD awarded, a sum in the range of \$39,188 - \$42,066 (1999 levels) 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.

In addition, a Research Support Grant of \$6,000 per annum is provided to assist in meeting costs directly associated with, and essential to, the Fellowship.

A four-year research and teaching option was introduced in 1999 and will continue into 2001. The Commonwealth contribution will be 75% of the standard annual amount, including the Research Support Grant. In view of resource implications, any intending applicant must discuss the feasibility of this option with his/her Head of Department. A final decision about the preferred option will not be required until an APD Fellowship is actually offered.

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

Eligibility

Australian and overseas researchers may apply for an APD to commence in 2001 if:

- they have been awarded a PhD since 1 March 1997; or
- they have not yet submitted their PhD thesis but are due to do so before the end of 2000.

If an APD Fellowship offer is made, it will be contingent upon receiving official confirmation that the thesis has been submitted by 31 December 2000. 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 2001.

If these conditions have not been satisfied, 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 eligible institution, the IAS at the Australian National University or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources eg. Defence Science and Technology Organisation (DSTO), Commonwealth Scientific and Industrial Research Organisation (CSIRO), Australian Geological Survey Organisation (AGSO), State Research and Development (R&D) organisations and NHMRC block-funded institutions.

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

Please note: APD Fellows are not eligible to apply for a second APD. However, they may apply for an ARF/QEII in the third year of their Research Fellowship.

Eligibility exemption

Please refer to the information at Section 4.1.1 of these guidelines.

Selection criteria

The following selection criteria apply to applications for APD Fellowships.

- the ability of the applicant as determined by:
 - 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 refereed publications;
- the quality of the aims, significance, research plan and methodology of the proposed project; and
- the quality of the research environment and the extent of facilities and infrastructure to be provided to support the research project.

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. The proforma can be downloaded from the World Wide Web at:

<http://www.detva.gov.au/highered/research/grants/grantap1.htm#fellowship>

Australian Research Fellowship/Queen Elizabeth II Fellowship (ARF/QEII)

Number of Fellowships available, tenure details and support entitlements

Thirty ARF/QEII Fellowships, with a standard tenure of five years, are expected to be awarded in 2001.

A sum in the range of \$44,281 - \$52,585 (ARF) or \$47,601 - \$52,585 (QEII) (1999 salary levels) 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.

In addition, a Research Support Grant of \$7,000 (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 DETYA receives satisfactory annual progress reports, but will not be extended.

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 a SRF.

Eligibility

- Applicants must have an excellent academic record and have been awarded a PhD.
- At the time of application, applicants should have more than three years', but not more than eight years', professional experience since the award of their PhD.
- ARFs are not tenable at the IAS at the Australian National University or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources eg. Defence Science and Technology Organisation (DSTO), Commonwealth Scientific and Industrial Research Organisation (CSIRO), Australian Geological Survey Organisation (AGSO), State Research and Development (R&D) organisations and NHMRC block-funded institutions.
- QEII Fellowships are categorised as training awards and, as such, are tenable at any eligible institution, the IAS at the Australian National University or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources eg. Defence Science and Technology Organisation (DSTO), Commonwealth Scientific and Industrial Research Organisation (CSIRO), Australian Geological Survey Organisation (AGSO), State Research and Development (R&D) organisations and NHMRC block-funded institutions.

Eligibility exemption

Please refer to the information at Section 4.1.1 of these guidelines.

Selection criteria

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

- the ability of the applicant as determined by:
 - 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 refereed publications;
- the quality of the aims, significance, research plan and methodology of the proposed project; and
- the quality of the research environment and the extent of facilities and infrastructure to be provided to support the research project.

In addition, the selection committee 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 in his/her specific discipline.

Preference may be given 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.

The competition for QEII Fellowships is open.

Australian Senior Research Fellowship (SRF)

Number of Fellowships available, tenure details and support entitlements

Fifteen SRFs, with a standard tenure of five years, are expected to be awarded in 2001.

For each SRF, a sum in the range of \$54,244 - \$84,134 (1999 salary levels) 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.

No Research Support Grant is provided with these Fellowships.

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

Eligibility

The Fellowships are open to world-wide competition from researchers 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 Australian, or non-Australian, researchers who wish to pursue their research in Australia.

Australian SRFs are not tenable at the IAS at the Australian National University or at research organisations outside the higher education sector that are funded primarily for research from State or Commonwealth Government sources eg. Defence Science and Technology Organisation (DSTO), Commonwealth Scientific and Industrial Research Organisation (CSIRO), Australian Geological Survey Organisation (AGSO), State Research and Development (R&D) organisations and NHMRC block-funded institutions.

Eligibility exemption

Please refer to the information at Section 4.1.1 of these guidelines.

Selection criteria

The following selection criteria apply to applications for a 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, 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 proposed project; and

- the quality of the research environment and the extent of the facilities and infrastructure to be provided to support the research project.

In addition to the above selection criteria, an applicant for a SRF will need to demonstrate a sustained track record of significant output in 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 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 category. 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 Large Research Grants Scheme;
- the Small Grants Scheme;
- research grants from other organisations; and
- institutional research support.

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

Appendix 2: Details of the selection procedure for Research Fellowships

The RGFC is responsible for the selection of Research Fellowships.

Where a Research Fellowship application is innovative in more than the area covered by one discipline panel, the RGFC defines this as a multi-panel application which will be considered by the appropriate combination of panels, as well as by the RGFC Chair. In such cases, the applicant must indicate in which discipline area the application'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 an application as multi-panel but the novelty lies in only one particular field, the RGFC will assign the application to the panel responsible for that discipline.

In all cases, the RGFC will determine the most appropriate panel(s) to assess an application.

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

Assessment - Stage 1

At the first selection meeting, panel members review the comparative quality of applications against the following selection criteria:

- 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, expert in the relevant specific area of research, are selected and will be requested to assess applications against the selection criteria. In cases where an application requires assessment by specialists from more than one discipline, the panel takes care to select appropriate assessors.

Applicants excluded in Stage 1 will be notified, through the Research Office of the proposed host institution, by mid-May 2000.

Assessment - Stage 2

The assessors' comments and any panel 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 panel. The names of the assessors are not provided to the applicant in order to ensure that the impartiality of the assessment process is maintained.

Assessment - Stage 3

At the final selection meeting, each panel ranks the applications within each Research 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.

As there are no quotas for particular disciplines, the RGFC 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. Then 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 RGFC prepares a detailed list of Research Fellowship recommendations and associated financial allocations and submits it to the ARC for endorsement. The recommendations are then forwarded to the Minister for approval.