



Australian Government

Australian Research Council

***Call for Proposals for an
ARC Centre of Excellence in
Policing and Security***

Australian Research Council
Proposed ARC Centre of Excellence
in Policing and Security

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Acronyms

The following acronyms are used in ARC Funding Rules.

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

Key Times

Key times for the Australian Research Council's *Centre of Excellence in Policing and Security* initiative include:

Closing time for submission of Proposals – 17:00 (AEDT) Friday 27 October 2006
Deadline for requests relating to assessor exclusion – 17:00 (AEDT) Friday 27 October 2006

Contacts

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

Enquiries about the *ARC Centre of Excellence in Policing and Security* initiative may be addressed:

by post to:

ARC Centre of Excellence in Policing and Security Coordinator
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

OR

by courier to:

ARC Centre of Excellence in Policing and Security Coordinator
Australian Research Council
1st floor, 8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

Email: centres@arc.gov.au
Phone: 02 6287 6670
Fax: 02 6287 6638
Web: <http://www.arc.gov.au>

Definitions for ARC Centre of Excellence in Policing and Security Call for Proposals

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

Administering Organisation means an Eligible Organisation which submits a Proposal for funding under this Call and which will receive and be responsible for funding if the proposed Centre is approved for funding.

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

ARC's Website is <http://www.arc.gov.au>.

Collaborating Organisation means an organisation identified on a Proposal, or otherwise advised to the ARC, as a contributor to the Centre, which is not the Administering Organisation.

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

Eligible Organisation means an organisation which is eligible to apply for and receive funding under this initiative as specified in Appendix 1.

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

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

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

Australian Research Council
Proposed ARC Centre of Excellence
in Policing and Security

1 Introduction

1.1 Overview

- 1.1.1 This document (this Call) invites Proposals from Eligible Organisations (see Section 4.1 and Appendix 1) for funding collaborative research to address the National Research Priority Area of “Safeguarding Australia” through the funding of the establishment of an *ARC Centre of Excellence in Policing and Security*. Proposals must comply with the *Special Research Initiatives Funding Rules for Funding commencing in 2006* (2006 SRI Funding Rules), available on the ARC’s Website, as well as with the requirements described in this Call.
- 1.1.2 All parties involved in a Proposal should read and understand the 2006 SRI Funding Rules, this Call and the ARC’s draft Funding Agreement for the proposed Centre (which will be available on the ARC’s Website) before submitting a Proposal to the ARC. Administering Organisations are responsible for ensuring that their Proposal is complete and accurate.
- 1.1.3 The 2006 SRI Funding Rules are current as at 4 September 2006 and were prepared in accordance with the requirements of the ARC Act in force at that time. The 2006 SRI Funding Rules and this Call are subject to change at any time, for reasons including any subsequent amendment, replacement or supplementation of the ARC Act.
- 1.1.4 Funding under the 2006 SRI Funding Rules is provided to the Administering Organisation, not to researchers. That is, the ARC will accept a Proposal only from an Eligible Organisation and not from any individual researcher or researchers.
- 1.1.5 However, if, in the opinion of the ARC, any researcher nominated in a Proposal as a CI or PI has caused or has significantly contributed to the failure of an organisation to meet its obligations under any current or previous Funding Agreement with the ARC, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that researcher.

1.2 Background

- 1.2.1 The Australian Research Council (ARC) wishes to progress the Australian Government’s National Research Priorities. In particular, under this initiative it wishes to progress the National Research Priority Area of “Safeguarding Australia”. Full descriptions of the National Research Priority Areas and their associated Priority Goals can be found in Appendix 1 of the 2006 SRI Funding Rules, and on the ARC’s Website.
- 1.2.2 The ARC has identified an *ARC Centre of Excellence in Policing and Security* initiative for funding, to be formally conducted under the ARC’s *Special*

Research Initiatives (SRI) scheme. The ARC intends to support an ARC Centre of Excellence in Policing and Security.

- 1.2.3 The proposed Centre will undertake research in the areas of policing and security. In doing so, it may address such issues as the origins, motivations and dynamics of trans-national security threats, particularly as they apply to the Asia-Pacific region, and the effectiveness, co-ordination and integration of differing policing and security responses. The proposed Centre may aim to achieve synergies among policing, regulation, intelligence gathering and analysis and other relevant areas.

1.3 Objectives of the funding initiative

- 1.3.1 As an initiative formally conducted under the SRI scheme, the *ARC Centre of Excellence in Policing and Security* initiative will support highly innovative and internationally competitive research that addresses challenging and significant problems, and will produce outcomes of economic, social and cultural benefit to Australia.
- 1.3.2 In addition, the *ARC Centre of Excellence in Policing and Security* funded under this initiative may involve significant collaboration involving the research resources of universities, publicly funded research institutes and Government, community and business entities, which will allow the complementary research resources of entities to be concentrated to support research in an area of national priority. The Administering Organisation is expected to seek additional financial contributions for the Centre from a variety of sources such as State Governments, participating institutions, business investors and similar bodies.
- 1.3.3 The *ARC Centre of Excellence in Policing and Security* initiative invites Proposals which can demonstrate that the proposed Centre can enhance collaboration among organisations in the National Research Priority Area of “Safeguarding Australia”. The Administering Organisation and the other organisations involved in the Centre are required to provide resources for the proposed Centre.

1.4 Objectives of the Centre

- 1.4.1 The objective of the Centre funded under this initiative is to establish and operate an ARC Centre of Excellence in Policing and Security which promotes the following objectives:
- a. undertaking highly innovative research at the forefront of developments within areas of national importance, with a scale and a focus leading to outstanding international and national recognition;
 - b. enhancing the scale and focus of research in the designated National Research Priority: Safeguarding Australia. (Full descriptions of the National Research Priorities and their associated Priority Goals can be found in Appendix 1 of the 2006 SRI Funding Rules and on the ARC’s Website.);
 - c. promoting research that will enhance Australia’s future economic, social and cultural wellbeing;

- d. linking existing Australian research strengths and building new capacity for interdisciplinary, collaborative approaches to address the most challenging and significant research problems;
- e. building Australia's human capacity in a range of research areas by attracting, from within Australia and abroad, researchers of high international standing as well as the most promising research students;
- f. providing high-quality postgraduate and postdoctoral training environments for the next generation of researchers in innovative and internationally competitive research;
- g. offering Australian researchers access to world-class infrastructure and equipment, and to key research technologies;
- h. developing relationships and building new networks with major international Centres and research programs that help achieve global competitiveness and recognition for Australian research; and
- i. establishing a Centre of such repute in the wider community that it will serve as a point of interaction among higher education institutions, Governments, industry and the private sector generally.

1.5 Characteristics of the Centre

Focus on Research and Research Training

- 1.5.1 The Centre must be established on the basis of the excellence of the proposed research program, the excellence of the participating researchers, and the potential of both to contribute to the economic, social and cultural development of Australia. The Centre must build on Australia's existing strengths and develop additional capacity to generate new knowledge. The Centre will focus research on areas of national importance, and must address challenging and significant problems, the resolution of which will lead to international acclaim and offer benefits to potential end-users. It must use strategic networking and linkages to build the critical mass required to make a real difference in the focal areas of its research program.
- 1.5.2 The Centre must provide a world-class research environment that is attractive to leading researchers and effective in developing the careers of outstanding young Australian researchers and research leaders. The education and outreach programs of the Centre must build understanding of, and expertise in, specific research areas at regional and national level.

Developing and Applying Research Outcomes

- 1.5.3 The Centre is likely to generate knowledge that has the potential for development to the point of application (for instance, in shaping public policy and/or influencing end users). The ARC aims to help ensure that the value of such potential applications is captured for the national benefit. Accordingly, the Centre must foster amongst its staff an awareness of sound innovation and policy practice. The national and international connections of the Centre may include both public and private sector organisations and/or organisations that will assist the inflow of information and ideas regarding important advances in research and policy application of interest to Australia.

- 1.5.4 Except with written approval from the ARC, the Centre must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC's Website) and accord with any intellectual property policies of the organisations involved in the Centre.
- 1.5.5 The Centre may involve participants from organisations which are not Eligible Organisations, such as other Commonwealth and/or State agencies, private sector entities, and overseas organisations.
- 1.5.6 The Centre may consist of a number of geographically separated research sites or nodes which are nevertheless fully integrated into the research program of the Centre. It must have a prominent identity and physical presence at all nodes, as well as high visibility on the World Wide Web, and will be required by the Funding Agreement to acknowledge the ARC's support in the name of the Centre.

Governance

- 1.5.7 Normally, the Centre's administrative operations will be established within the academic, administrative and financial governance structures of the Administering Organisation, although the ARC may approve the establishment of a separate legal entity if this is appropriate. The Centre may be located at a single site, or comprise networked nodes, or operate as a "virtual Centre", or adopt any other approach to research management, provided that it meets the objectives and selection criteria and is not contrary to the Funding Agreement.
- 1.5.8 Governance arrangements for the Centre must ensure fair access to resources for all eligible participants, make provision for entry and exit of Collaborating Organisations, and provide sound management of background and developed intellectual property. The ARC requires that understandings or agreements reached between the Administering Organisation and the Collaborating Organisations for the operation of the Centre be formalised by written agreement(s), a copy of which must be provided to the ARC upon request. The matters which must be covered by these written agreements will be specified in the Funding Agreement between the ARC and the Administering Organisation.
- 1.5.9 The Centre must have an Advisory Board that provides broad representation from the research and end-user communities. Within the governance structures of the Administering Organisation, the Board will offer advice to the Centre Director and the Administering Organisation and the Collaborating Organisations regarding the research focus of the Centre, its structure and general operating principles, and intellectual property and commercialisation management.

Naming the Centre

- 1.5.10 The ARC will determine the name for the Centre on the advice of the Administering Organisation. Unless agreed otherwise by the ARC, the name of the Centre must commence "ARC Centre of Excellence for..."

2 Funding

2.1 Level of funding

- 2.1.1 Proposals will be received and considered by the ARC under the ARC's 2006 SRI Funding Rules. The key details and criteria relating to the *ARC Centre of Excellence in Policing and Security* initiative are summarised at Appendix 2 of the 2006 SRI Funding Rules.
- 2.1.2 The ARC reserves the right to recommend the level of funding allocated to a Proposal and may recommend funding at a level different from that requested by the Administering Organisation. Funding must be used only for purposes that are consistent with the 2006 SRI Funding Rules, this Call, and the Funding Agreement.
- 2.1.3 The ARC reserves the right to recommend to the Minister that the proposed Centre not be funded if it judges that Proposals are not of sufficient quality and/or do not meet the eligibility requirements or selection criteria.
- 2.1.4 If successful, the proposed Centre may receive ARC funding of up to \$2 million (GST-exclusive) per year averaged over the life of the project. The Centre is expected to seek additional financial contributions from a variety of sources such as State Governments, participating organisations, business investors and similar bodies.
- 2.1.5 Proponent Administering Organisations are strongly encouraged to maximise the impact of ARC funding by obtaining commitments for additional financial contributions from a variety of sources, including: State/Territory Governments/organisations, venture capital firms, business investors, and similar bodies. Australian and international industry partners and business investors may provide in-kind resources to the Centre, and will be expected also to make cash contributions.
- 2.1.6 Funding for the Centre will be directed through the Administering Organisation. If approved, the ARC's financial assistance to the Centre is subject to the appropriation of moneys and the approval of expenditures under the *Australian Research Council Act 2001* (the ARC Act). Approval of expenditures under the ARC Act can be considered only in relation to years for which there are relevant budgetary funding caps and splits in place as required by the ARC Act. The ARC will enter into a Funding Agreement with the Administering Organisation that will specify *inter alia* the approved and indicative expenditures over the funding period.
- 2.1.7 If a Proposal is funded, the ARC will provide funding assistance for eligible direct costs of the Centre's research program. Direct costs include expenditure of salaries (and local on-costs) of people who perform research or activities that support the research, stipends for research students, items of equipment used in the research and the costs of travel, visitors and meetings related to the research. However, the ARC will not provide support, in whole or in part, for the full or partial salaries or salary loadings for the Centre Director and for researchers who have continuing positions with the Administering Organisation and/or the Collaborating Organisations. Organisations involved in the establishment and ongoing support of a Centre must have a strategic

intent to establish scale and focus in the Centre's area of research. Consequently, they must meet all indirect costs, and may provide additional cash or in-kind resources. Indirect costs include payments for appropriate office accommodation, libraries, laboratories, and equipment and other organisational overheads and infrastructure costs paid by the Administering Organisation and the Collaborating Organisations.

- 2.1.8 The Centre may undertake individual research projects with institutions/ organisations that are not the Administering Organisation or founding Collaborating Organisations in the Centre, provided that arrangements are made to protect the rights of all parties concerned. The requirement to enter into these arrangements will be dealt with in the Funding Agreement.

2.2 Duration of funding

- 2.2.1 Funds for an ARC Centre of Excellence in Policing and Security may be awarded for up to 5 years, subject to Parliamentary appropriations and the provisions of the ARC Act. Funding is expected to begin in the 2006-07 financial year.
- 2.2.2 The ARC may recommend funding for a duration different from that requested by the Administering Organisation.
- 2.2.3 In the case of exceptional performance by the Centre and subject to the availability of funding, the ARC may consider making a recommendation for financial assistance for an additional period or periods of up to five years in total.

2.3 Nature of research supported

- 2.3.1 The *ARC Centre of Excellence in Policing and Security* initiative supports excellent collaborative research among researchers, including:
- a. pure basic research which is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge;
 - b. strategic basic research which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. It provides the broad base of knowledge necessary to solve recognised practical problems; and
 - c. applied research which is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

2.4 Areas of investigation/work not supported

2.4.1 The *ARC Centre of Excellence in Policing and Security* initiative does not support the following work:

- a. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, design and literary works, for which Commonwealth Government support is provided through the Australia Council for the Arts;
- b. production of teaching materials, even though some research may be involved in their production;
- c. compilation of data, unless an integral part of a Proposal, in which case applicants must provide a statement indicating the research objectives to which the data would contribute;
- d. development of research aids and tools (including computer programs), unless they form an integral part of a Proposal, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute; or
- e. research and training in the fields of clinical medicine, public health and dentistry.

2.5 Budget items not supported

2.5.1 The *ARC Centre of Excellence in Policing and Security* initiative does not support the following budget items:

- a. **Salaries of Chief Investigators (CI) or Partner Investigators (PI).** The Commonwealth will not provide support, in whole or in part, to meet the salaries of Chief Investigators or Partner Investigators, other than approved ARC Centre Fellows, under the *ARC Centre of Excellence in Policing and Security* initiative.
- b. **Teaching.** Commonwealth funds may be used for teaching relief only if specifically approved for that purpose. The ARC may consider a request for teaching relief for a period of not more than 6 months a year, if such a request is fully justified in terms of achieving a successful outcome for the Proposal. If approved, the funding contribution is limited to the maximum base rate of \$32,294 (2007\$) for 6 months (or pro rata for lesser periods) per calendar year regardless of the level of appointment of the staff member, and is a Special Condition in the Centre's Funding Agreement.
- c. **Special Studies/Study Leave Programs.** Funds are not provided for travel or related expenses for researchers when on a Special Studies Program. In well justified cases some specified costs may be supported provided an investigator can show that such expenses are not covered by a Special Studies Program and that the research to be undertaken directly relates to the Proposal. In these cases the use of funds needs to be approved as a Special Condition in the Centre's Funding Agreement.

- d. **Research support for Partner Investigators.** Funding will not be provided for research costs for Partner Investigators apart from short-term project support for investigators visiting from overseas.
- e. **International students' fees and Higher Education Contribution Scheme (HECS) liability.** Funds are not provided to pay the fees of international students or HECS liabilities for Australian students.
- f. **Computer facilities for molecular analysis.** Applicants for a Centre involving molecular biology should be aware that a number of organisations provide access to a range of databases and a large suite of analysis programs. As a result, Proposals seeking funding for computer facilities to undertake molecular analysis must justify such needs very thoroughly and to the satisfaction of the ARC.
- g. **Basic facilities.** The Administering Organisation must agree to provide the following basic facilities, (where relevant to the Proposal), which will not be funded by the ARC under the *ARC Centre of Excellence in Policing and Security* initiative:
 - i. accommodation (eg. laboratory and office, suitably equipped and furnished in standard ways);
 - ii. access to workshop services (eg machine tools and qualified technicians available to each member of staff, according to need, for research);
 - iii. access to film or music editing facilities;
 - iv. access to basic library collections;
 - v. standard reference materials or funds for abstracting services;
 - vi. provision of computers (excluding access to high-performance computers or other specialised applications) and basic computing facilities such as word processing and other standard software; and
 - viii. use of photocopiers, telephones, mail, fax, email and internet services.
- h. **Publication costs.** Publication costs, including page costs, will not be funded under the *ARC Centre of Excellence in Policing and Security* initiative.
- i. Investigations that are more appropriately undertaken by way of consultancy, although researchers associated with the Centre may undertake consultancies;
- j. Notwithstanding the fact that the ARC encourages the commercialisation of the outcomes of research it funds, the ARC does not fund directly the development of products or other commercialisation activities.

- k. **Costs not directly related to the Centre.** Costs not directly related to the Centre will not be funded, for example, costs of a personal nature such as childcare.

3 Number of Proposals and applications

- 3.1.1 An Eligible Organisation may submit only one Proposal. A Proposal must identify at least one researcher as a Chief Investigator (CI). A person nominated as a CI must satisfy the eligibility criteria for that role as specified in Section 4.2 of this Call.
- 3.1.2 Subject to section 2.2 of the 2006 SRI Funding Rules and 4.6 of this Call, research funding received or sought elsewhere (outside the *ARC Centre of Excellence in Policing and Security* initiative) has no impact on eligibility for funding within the *ARC Centre of Excellence in Policing and Security* initiative. Nevertheless, all the time commitments (that is Centre-related work commitments and other commitments) of the participants named in an ARC Centre of Excellence in Policing and Security Proposal will be considered during the selection and assessment process.

4 Organisational and Investigator types, roles and eligibility

4.1 Eligible Organisations

- 4.1.1 To be eligible for consideration, a Proposal for an ARC Centre of Excellence in Policing and Security must be submitted by an Eligible Organisation. Eligible Organisations for the *ARC Centre of Research Excellence in Policing and Security* initiative are specified in Appendix 1.
- 4.1.2 If a Proposal is successful the proponent Eligible Organisation will become the Administering Organisation for the purposes of receiving and administering the funding.
- 4.1.3 Relevant industry input or the involvement of other organisations are not required for an *ARC Centre of Excellence in Policing and Security* Proposal; however, a Proposal will be strengthened by containing relevant industry or other organisation input.

4.2 Investigator types, roles and eligibility

- 4.2.1 The following roles are available under the ARC Centre of Excellence in Policing and Security initiative:
 - a. Chief Investigator (CI); or
 - b. Partner Investigator (PI).
- 4.2.2 Researchers may be nominated on any number of Proposals under this initiative.
- 4.2.3 In order to participate as a CI or PI, a person must satisfy the eligibility requirements specified for the relevant role in Section 4.2 of this Call.

Chief Investigators

- 4.2.4 To be eligible to participate as a CI, a person must meet the following criteria for the duration of her/his participation in the Centre:
- a. The person must take intellectual responsibility for the project, its conception, and any strategic decisions called for in its pursuit and the communication of results. The person must have the capacity to make a serious commitment to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. The ARC reserves the right to rule on the question of capacity;
 - b. The person must reside predominantly in Australia for the full term of the funding of the Centre by the ARC. If the person does not have permanent resident status, he or she must obtain temporary resident status from the Department of Immigration and Multicultural Affairs before taking up the funding;
 - c. The person must meet at least one of the following three criteria:
 - i. be an employee of an Eligible Organisation (listed in Appendix 1) and derive at least 50 per cent of her/his salary from that Eligible Organisation; or
 - ii. be a holder of an Adjunct Appointment, or equivalent, at an Eligible Organisation; or
 - iii. be the holder of an ARC Federation Fellowship.
- 4.2.5 Notwithstanding her or his eligibility under the criteria above, a researcher is not eligible to apply as a CI if he or she is an undergraduate student or postgraduate student (unless eligible to be a CI because of employment and then only for research which lies outside the scope of the postgraduate studies). Researchers who derive more than 50 per cent of their salary from organisations outside the higher education sector that are funded primarily for research from State/Territory or Commonwealth Government sources are also not eligible to apply as a CI. Such organisations include, but are not limited to, DSTO, CSIRO, GA, ANSTO, AIMS, State/Territory Research and Development organisations.
- 4.2.6 Chief Investigators must have fulfilled to the satisfaction of the ARC all obligations from previous ARC grants (including progress and final reports).
- 4.2.7 The first-named CI will be considered the ‘Project Leader’ and must be an employee, or holder of an Adjunct Appointment or equivalent, at one of the Eligible Organisations for the duration of her/his participation in the Centre. This person will be considered the Interim Director for the Centre.

Partner Investigators

- 4.2.8 To be eligible to participate as a PI, a person must:
- a. be ineligible to be a CI in this application round; and
 - b. demonstrate a significant contribution of funds (other than salary) or other material resources from the person’s organisation for the proposed project (having regard to the total cost of the project and the relative contribution of each CI).

4.3 Appointment and Responsibilities of the Director

- 4.3.1 If a Proposal is successful, a Director must be appointed to lead the Centre. The Director must satisfy the requirements for a CI as specified in Section 4.2 of this Call and is expected to work exclusively on the activities of the Centre. The Director and the principal researchers in the Centre will be in a unique position to develop and carry through an excellent program of research, attracting outstanding researchers from within Australia and from overseas.
- 4.3.2 The Director, in consultation with the Advisory Board, will be responsible for implementing the strategies of the Centre and managing the research program. The Director must coordinate the Centre's research effort and reporting structures across the Administering Organisation and the Collaborating Organisations and nodes involved in the Centre. The Director must also be responsible, in consultation with the Advisory Board, for managing the Centre's intellectual property in accordance with the policies of the Administering Organisation and with the *National Principles of Intellectual Property Management for Publicly Funded Research* (refer also to section 12.4 of the 2006 SRI Funding Rules).
- 4.3.3 It is expected that a Proposal for the Centre will have been generated under the leadership of the Interim Director. For some proposed Centres, the Director's role may be primarily one of research management and coordination, and the Director's track record will be judged accordingly. The Interim Director may become the Centre Director if the application is successful. A Centre Director may be appointed only with the approval of the ARC. Should the Interim Director not become the Director, or should the Director's position fall vacant, the ARC must be consulted before the appointment of the new Director.

4.4 ARC Centre Fellowships and Awards

- 4.4.1 The Centre may employ postdoctoral researchers using the ARC funding assistance. These researchers will be critical to achieving the intended research outcomes. The ARC will acknowledge the most outstanding of these postdoctoral researchers through the award of the prestigious title of ARC Centre Fellow. ARC Centre Fellowships (ACFs) can be awarded only after the Centre has commenced operation. The Centre Director must submit nominations of selected members of the research-only staff funded from the Centre's ARC funding assistance, for consideration and possible endorsement by the ARC as ARC Centre Fellows. ARC Centre Fellowships will be awarded only to outstanding candidates - the ARC will assess nominations for ARC Centre Fellowships via a process using similar criteria and standards to those which apply in the ARC's existing Fellowship programs. The procedure for submitting nominations for ARC Centre Fellowships is provided on the ARC's Website.
- 4.4.2 The Centre may determine the level of salaries offered to ARC Centre Fellows, which must be equal to or greater than the minimum levels of the ARC notional salary rates for Fellowships (Appendix 2 of the *Discovery Projects Funding Rules for funding commencing in 2007*, which is available on the ARC's Website). Funding for ACF salaries may be paid from the ARC funding for the Centre.

- 4.4.3 Holders of Fellowships under other ARC funding schemes are not eligible to concurrently hold ARC Centre Fellowships. This does not, however, preclude them from being involved in the work of the Centre while they continue to hold a Fellowship under any other ARC funding scheme.
- 4.4.4 In recognition of the importance of building the level of knowledge and expertise in Australia's population through postgraduate training in research areas of national importance, the Centre will be able to offer ARC Centre Postgraduate Awards (APA-Cs), with funding for an APA-C stipend permitted to be paid out of the ARC funding. Centres must advise the ARC of the names of all APA-C recipients. Centres may set the level of APA-C stipends. This may be equal to or greater than the level of stipend paid for Australian Postgraduate Awards under other ARC funding schemes.

4.5 Associated Federation Fellows

- 4.5.1 ARC Federation Fellowships, which are prestigious awards awarded under the ARC's *Federation Fellowships* scheme, are designed to provide internationally competitive salaries that will support and encourage outstanding Australian and international researchers to work in Australia. Federation Fellows with expertise in the Centre's research area are likely to play a key role in establishing the Australian research agenda in these areas and may be in a position to support and promote the work of the Centre, mentor staff and students, and help build international links.
- 4.5.2 A Centre Proposal should outline whether any Federation Fellows are to be involved in the Centre, but the involvement of Federation Fellows is not mandatory.
- 4.5.3 If a Federation Fellow is associated with the Centre, her/his salary must be met from the *Federation Fellowship* scheme funding, not from the ARC funding provided for the Centre. The "matching funding" which is required under the ARC *Federation Fellowship* scheme may *not* be met from Centre funding (ARC funding or other funding provided to the Centre by the Administering Organisation or Collaborating Organisations) or from resources put forward as a matching component in other applications for Commonwealth funding, including ARC Centres of Excellence.

4.6 Duplication

Research already funded by the Commonwealth

- 4.6.1 The ARC will not duplicate financial assistance for research already funded by the Commonwealth. The ARC reserves the right to determine whether a Proposal, if funded, would duplicate funding for research already funded by the Commonwealth. In order to assist its consideration of whether duplication would occur the ARC may seek further information from the Administering Organisation or other parties if required, including liaising with other funding bodies. The ARC reserves the right to make the final decision on whether a Proposal, if funded, would duplicate funding for research already funded by the Commonwealth.
- 4.6.2 A Proposal must provide details of all Commonwealth research funding associated with nominated CIs and PIs (including the Interim Director),

including, but not limited to, funding from competitive research funding programs. If a Proposal is successful and the funding of the Proposal may, in the opinion of the ARC, result in duplication of Commonwealth funding for research already funded by the Commonwealth, the ARC may, in its absolute discretion, require the relinquishment of any future funding associated with the duplicated research prior to the execution of the Funding Agreement and payment of any funding for the Centre.

4.6.3 The following rules will apply to funding provided by the ARC:

- a. Subject to any requirements or limitations specified under other ARC initiatives or funding schemes, ARC salary-related funding (including salary-related on-costs) associated with Fellowships awarded under other ARC initiatives or funding schemes, including *Federation Fellowships*, and any Fellowship component(s) of a *Discovery Projects* or a *Linkage Projects* project may, with the approval of the ARC, be retained. If a person is the recipient of salary-related funding from another ARC funding scheme, funding provided by the ARC for the Centre is not permitted to be used to meet the salary, in whole or part, for that person. However, the potential impact of the person's other research activities on the relevant researcher's time commitments to the Centre may be taken into account in assessing the Proposal;
- b. ARC funding associated with an ARC Centre (see Definitions section), *Discovery Projects* project, *Linkage Projects* project and projects funded under other ARC initiatives or funding schemes (excluding the Fellowship funding outlined above) which is for research in an area that is considered by the ARC to duplicate, or could reasonably be expected to be duplicated, within the research program of the Centre funded under this initiative may be required to be relinquished;
- c. Subject to any requirements or limitations specified under other ARC initiatives or funding schemes, ARC funding associated with an ARC Centre, *Discovery Projects* project, *Linkage Projects* project and projects funded under other ARC initiatives or funding schemes which is for research in areas that would not be duplicated in the research program of the Centre funded under this initiative may be retained. However, the potential impact of the person's other research activities on the relevant researcher's time commitments to the Centre may be taken into account in assessing the Proposal.

Commonwealth-funded Research Centres

4.6.4 The ARC will not fund under this initiative research already funded by a Commonwealth-funded Research Centre or which could reasonably be expected to be supported by the Commonwealth-funded Research Centre given its research program and its level of funding. The proposed research for the Centre must not duplicate work that is funded by or forms part of the proposed funded work of any Commonwealth-funded research Centre. For any researchers named as a participant on an ARC Centre of Excellence in Policing and Security Proposal, who is associated, or substantially associated (see below), with a Commonwealth-funded research Centre, a letter must be provided with the Proposal, signed by the Commonwealth-funded research Centre Director, which describes the relationship between the proposed

research and the research funded by the existing Centre, and specifically states that “the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by the existing Centre”. This letter should be no longer than one page. Failure to provide a letter in such circumstances may render an *ARC Centre of Excellence in Policing and Security* Proposal ineligible.

- 4.6.5 The Commonwealth reserves the right to make the final decision as to whether a Proposal duplicates work funded, or which could reasonably be expected to be funded, as part of a Commonwealth-funded Research Centre. Should the information contained in the *ARC Centre of Excellence in Policing and Security* Proposal, the accompanying letter from the Director and/or the Centre Annual Report be found inaccurate or misleading in a material way, any funding awarded may be terminated, and the Director may be asked to show cause why any ARC funding for the Centre should not be terminated.

4.7 Substantial association

- 4.7.1 For the purpose of these rules, the term ‘associated with’ refers to those who contribute to the work of the Centre and whose contributions form part of the output of the Centre for annual reporting and evaluation purposes. The term ‘any researcher substantially associated with’ includes the Director and Deputy Directors in the initial Centre application (as subsequently modified and reported to the ARC) and researchers who receive more than 30% of their salary from the Centre.
- 4.7.2 Notwithstanding the remainder of this section, the Commonwealth reserves the right to determine which researchers are substantially associated with a Centre and also reserves the right to take into account the magnitude of in-kind contributions when making a determination as to whether a Proposal or a researcher is substantially associated with a Centre.

5 Application Process

5.1 Proposals

- 5.1.1 Proposals must satisfy all the requirements set out in the 2006 SRI Funding Rules and this Call.
- 5.1.2 A Proposal is the prime source of information available to the Selection Advisory Committee. A Proposal must be submitted as a mature plan ready for implementation and must contain all the information necessary for assessment of the Proposal without the need for further written or oral explanation, or reference to additional documentation or sources, unless requested by the ARC or its Selection Advisory Committee. All details in a Proposal, including employment details, must be current at the time of submission.
- 5.1.3 All parties involved in a Proposal are required to consent to the Proposal’s being assessed under the ARC peer assessment procedures and to the release of the Proposal to third parties for assessment purposes.

5.2 Certification

- 5.2.1 Proposals must be certified by the appropriate Research Office/Chief Executive Officer. The Administering Organisation must obtain the handwritten signatures and agreement of all parties necessary to allow the proposed research to proceed.
- 5.2.2 These agreements and signatures are to be retained by the Administering Organisation, which must provide these certifications if requested. A pro forma is available for this purpose on the ARC's Website.

5.3 Submission of Proposals

- 5.3.1 Proposals must be submitted using the SRI ARC Centre of Excellence Application Form which is available from the ARC and accessible via the ARC's Website.
- 5.3.2 The ARC Centre of Excellence in Policing and Security application form consists of two parts:
 - a. Electronic application form: to be completed within the form provided by the ARC on the ARC's Website and submitted electronically via email to the ARC; and
 - b. Additional text (to be electronically scanned in JPEG format and inserted into and submitted with the electronic application form):
 - i. Signed certification page(s); and
 - ii. Letters from the Centre Director(s) for any participants associated with a Commonwealth-funded research Centre.

5.4 Application format

- 5.4.1 All documents must be written in English and must comply strictly with the format and submission requirements outlined in the 2006 SRI Funding Rules and this Call.
- 5.4.2 All pages of additional text should be in black type, using a single column and 12-point font size on white A4 paper, be printed on one side only and unbound, with at least 2 cm margins on each side. As applications may be scanned electronically, applicants must use a highly legible font type, such as Arial, Courier, Palatino, Times New Roman or Helvetica. Variants such as mathematical typesetting languages may also be used. References may be reproduced in 10-point font size. Colour graphs or colour photographs may be included but they may be reproduced in black and white and the reproduction quality may be degraded. Note: finely detailed graphics and grey scale may also not be precisely reproduced.
- 5.4.3 Subject to this section, Proposals may be withdrawn but may not be changed after submission. Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

5.5 How to complete and submit applications

5.5.1 The *ARC Centre of Excellence in Policing and Security* electronic Application Form is produced using a template application form provided by the ARC to Eligible Organisations.

5.5.2 The completed electronic application form is to be submitted by the relevant Research Office, or equivalent, via email to the ARC. In addition, a full paper application and copy must be forwarded to the ARC. Other than in relation to the hand-written signatures on the Certification page(s) and hand-written signatures on letters (if any) from Centre Directors, these paper versions must identically match the relevant contents of the online application form. The paper copies must be signed by the CEO or DVC(R) of the Administering Organisation, or equivalent officer who has the power to make and vary contracts on behalf of the Administering Organisation.

5.5.3 Applications must be submitted to the ARC both electronically via email and two identical paper copies (which include relevant hand-written signatures) delivered to the ARC by the closing time.

5.5.4 The paper copies must be sent :
by mail, to,

Executive Director, *ARC Centres of Excellence* scheme
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or by courier, to,

Executive Director, *ARC Centres of Excellence* scheme
Australian Research Council
1st floor
8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

The electronic version must be submitted via email to ncgp@arc.gov.au marked to the attention of the Executive Director, ARC Centres of Excellence Scheme.

5.6 Closing time for applications

5.6.1 Two identical paper copies of the full application, incorporating the printed electronic form, additional text and signed certification(s), must be received by the ARC by **17:00 (AEDT) Friday 27 October 2006**. The electronic application form must also be completed and submitted via email by 17:00 (AEDT) Friday 27 October 2006.

5.6.2 Subject to this section, Proposals received after 17:00 (AEDT) Friday 27 October 2006 will not be accepted. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late applications.

6 Selection and Approval Process and Notification of Outcomes

- 6.1.1 Applications for funding will be assessed in accordance with the 2006 SRI Funding Rules and the requirements specified in this Call.

6.2 Selection criteria

- 6.2.1 Proposals for an ARC Centre of Excellence in Policing and Security will be assessed in accordance with the criteria stipulated in the 2006 SRI Funding Rules, as specified in Appendix 2 of this Call.

6.3 Assessment and selection procedure

- 6.3.1 Initial assessment of Proposals will be undertaken by the ARC in accordance with Section 9.1 of the 2006 SRI Funding Rules.
- 6.3.2 The ARC may appoint a Selection Advisory Committee to assist it with the assessment of applications.

6.4 Exclusion

- 6.4.1 In accordance with Section 9.2 of the 2006 SRI Funding Rules the ARC may recommend exclusion of Proposals at any time during the selection process.

6.5 Assignment of assessors

- 6.5.1 Proposals may be assessed by external assessors.
- 6.5.2 Administering Organisations may name any person whom they do not wish to assess the full application. Detailed written justification, which will be considered by the ARC, must be submitted through the Administering Organisation's Research Office, in a separate letter, and it must not accompany the application. The letter must be received by the closing time for applications, **17:00 (AEDT) Friday 27 October 2006**, and be sent to:

Executive Director, *ARC Centres of Excellence* scheme
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

- 6.5.3 The ARC will consider the justification put forward by an Administering Organisation to exclude any person as an assessor. However, the ARC may choose not to give effect to the request.

6.6 Rejoinder

- 6.6.1 External assessors' textual comments may be provided to the Administering Organisation to allow the opportunity for a rejoinder to the comments. At the same time, the ARC may add questions to the material sent to the applicants for rejoinder. In the event that a rejoinder process is to be undertaken, applicants will have 10 days in which to submit a rejoinder to the ARC.

Rejoinders will not be accepted after the nominated closing date for rejoinder submissions. The ARC may limit the length of rejoinders which can be submitted.

6.7 Interviews

6.7.1 The ARC and the Selection Advisory Committee may short-list proposals and invite some applicants to attend interviews. Interviews may, at the discretion of the ARC, be held in Canberra, or in one of the Administering Organisations or the Collaborating Organisations, or at a place nominated by the ARC. The ARC will endeavour to provide as much notice as possible of an invitation to attend an interview, but may schedule interviews with as little as three working days' notice. The ARC will determine the structure of interviews and will not fund participation in interviews.

6.8 Recommendations

6.8.1 The ARC's recommendations for funding will be submitted in accordance with the *Australian Research Council Act 2001* to the Minister for Education, Science and Training for consideration. The Minister will determine whether a Proposal will be offered funding.

6.9 Offer of funding

6.9.1 The successful Administering Organisations will be:

- a. notified in a letter of offer that will indicate the funding offered; and
- b. provided with the draft Funding Agreement.

7 Appeals Process

7.1.1 Section 10 of the 2006 SRI Funding Rules provides details of the appeals process.

8 Administration of Funding and Reports

8.1.1 Section 11 of the 2006 SRI Funding Rules provides details relating to the administration of funding and reporting requirements. Successful Administering Organisations should familiarise themselves with the draft Funding Agreement, which will be published on the ARC's Website. The Administering Organisation must accept and sign the Funding Agreement before payments can be made. The Funding Agreement will include agreed performance indicators.

8.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of funding. Administering Organisations should note that the Funding Agreement specifies conditions for management of Centre funding assistance, including reporting requirements and financial management.

8.1.3 If funded, there will be a full review of the performance of the Centre in the third year of its operation. The third-year review will examine the extent to which the Centre has met its previously stated aims and objectives, the

progress against the Centre's performance targets, the quality of outcomes to date, the management and governance of the Centre and the extent to which it has met its agreed objectives. Satisfactory progress in these areas is a condition for the Centre to receive further ARC funding.

- 8.1.4 A Centre review may be held at any time, and particularly in special circumstances such as a change of Director or withdrawal of a major Collaborating Organisation. Persons undertaking reviews for the ARC are to be given full access to all accounts, records, documents and premises relevant to the research being funded by the ARC.
- 8.1.5 Applicants should be aware of provisions of Part 8 of the *Financial Management and Accountability Act 1997*, which provide the Auditor General or an authorised person with the right to have, at all reasonable times, access to information, documents and records.

9 Other Matters

9.1 Applicable law

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

9.2 Confidentiality

- 9.2.1 Information contained in Proposals is regarded as confidential unless otherwise stated. Subject to the need to provide Proposals to third parties for assessment purposes, and statutory requirements for the ARC to provide information to Parliament or other parties, Proposals will be received and treated as confidential. Where information contained in a Proposal is made available to third parties for assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.
- 9.2.2 Notwithstanding the above, the ARC may publicise and report offers or awards of funding, including information about the proposed research or activity, the name and organisation of any applicant or other parties associated with the Proposal, the identity of the Administering Organisation and any other parties involved in or associated with the project, the title and summary descriptions of the project or activity being funded and its intended outcomes, and the level and nature of financial assistance from the ARC.

9.3 Project description

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

9.4 Intellectual property

- 9.4.1 Except with written approval from the ARC, the Centre must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC's Website) and accord with any intellectual property policies of the organisations involved in the Centre.

9.5 Incomplete or misleading information

- 9.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 9.5.2 If a Proposal is incomplete, inaccurate or contains misleading information, it may be excluded from any further consideration for funding.
- 9.5.3 If the ARC believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the ARC will refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Australian Government is committed to protecting its revenue, expenditure and property from any attempt, by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees, to gain financial or other benefits by deceit.
- 9.5.4 Examples of malpractice include, but are not restricted to:
- a. providing fictitious track records; or
 - b. falsifying claims in publications records (such as describing a paper as accepted for publication when it has only been submitted).

9.6 Insurance and liabilities

- 9.6.1 Administering Organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement. The draft Funding Agreement can be viewed on the ARC's Website.

Appendix 1: Eligible Organisations

New South Wales

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

Victoria

Deakin University
La Trobe University
Melbourne College of Divinity
Monash University
Royal Melbourne Institute of Technology (RMIT University)
Swinburne University of Technology
The University of Melbourne
University of Ballarat
Victoria University

Queensland

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

Western Australia

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

South Australia

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

Tasmania

Australian Maritime College
University of Tasmania

Northern Territory

Charles Darwin University

Batchelor Institute of Indigenous Tertiary Education

Australian Capital Territory

The Australian National University

University of Canberra

Multi-State

Australian Catholic University

Appendix 2: Selection Criteria

All Proposals under this initiative which meet the eligibility criteria will be assessed and merit ranked using the following criteria:

- a. the nature and merit of the Proposal in relation to the objective of the SRI scheme (see Note 1 below) and the additional objectives specified for the specific initiative as outlined in column 4 of the table in Appendix 2 of the 2006 SRI Funding Rules (see Note 2 below), taking into consideration:
 - i. the goals of the Proposal;
 - ii. the method and approach proposed to be adopted;
 - iii. expected results; and
 - iv. value for money and budget justification, including where appropriate any cash or in-kind financial contributions to be made from non-ARC sources;
- b. the parties who are to be involved in and associated with the Project, including their track record relative to opportunities and their capacity to undertake the proposed activities; and
- c. the relevance of the Proposal to issues of national significance and importance.

Note 1: The objective of the SRI scheme is to support high-quality research which will assist in advancing Australia's research excellence to be globally competitive and deliver benefits to the community. This extends, but is not limited, to supporting research-related activities which will respond to emerging opportunities or changing priorities.

Note 2: The objective specified for this specific initiative (per column 4 of the table in Appendix 2 of the 2006 SRI Funding Rules) is:

Establish an ARC Centre of Excellence in Policing and Security which promotes the following objectives (as specified in Section 2 of the *ARC Centres of Excellence Funding Rules for funding commencing in 2005*):

- a. undertaking highly innovative research at the forefront of developments within areas of national importance, with a scale and a focus leading to outstanding international and national recognition;
- b. enhancing the scale and focus of research in designated National Research Priorities in particular the designated National Research Priority 4: Safeguarding Australia. (Full descriptions of the National Research Priorities and their associated Priority Goals can be found in Appendix 1 of the 2006 SRI Funding Rules and on the ARC's Website)
- c. promoting research that will enhance Australia's future economic, social and cultural wellbeing;
- d. linking existing Australian research strengths and building new capacity for interdisciplinary, collaborative approaches to address the most challenging and significant research problems;

- e. building Australia's human capacity in a range of research areas by attracting, from within Australia and abroad, researchers of high international standing as well as the most promising research students;
- f. providing high-quality postgraduate and postdoctoral training environments for the next generation of researchers in innovative and internationally competitive research;
- g. offering Australian researchers access to world-class infrastructure and equipment, and to key research technologies;
- h. developing relationships and building new networks with major international Centres and research programs that help achieve global competitiveness and recognition for Australian research; and
- i. establishing a Centre of such repute in the wider community that it will serve as a point of interaction among higher education institutions, Governments, industry and the private sector generally.