



Australian Government

Australian Research Council

Special Research Initiatives

**Funding Rules for Funding commencing in
2006**

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Acronyms

The following acronyms are used in ARC Funding Rules.

AEST	Australian Eastern Standard Time
AEDT	Australian Eastern Daylight Saving (Summer) Time
AIMS	Australian Institute of Marine Science
ANSTO	Australian Nuclear Science and Technology Organisation
APA	Australian Postgraduate Award
APAI	Australian Postgraduate Award (Industry)
APD	Australian Postdoctoral Fellowship
APDC	Australian Postdoctoral Fellowship (CSIRO)
APDI	Australian Postdoctoral Fellowship (Industry)
APF	Australian Professorial Fellowship
ARC	Australian Research Council
ARCIF	Australian Research Council International Fellowship
ARF	Australian Research Fellowship
AVCC	Australian Vice-Chancellors' Committee
CoE	College of Experts
CI	Chief Investigator
CRC	Cooperative Research Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
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
KCTR	Key Centre for Teaching and Research
LASP	Learned Academies Special Projects
LIEF	Linkage Infrastructure Equipment and Facilities
LIF	Linkage Industry Fellowship
NC	Network Convener
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
NP	Network Participant
PI	Partner Investigator
QEII	Queen Elizabeth II Fellowship
RIEF	Research Infrastructure Equipment and Facilities
SPIRT	Strategic Partnerships with Industry – Research and Training
SRC	Special Research Centre
SRI	Special Research Initiatives
URL	Universal Resource Locator

Key Dates

Key dates may be specified in any call for proposal(s) for funding issued by the Australian Research Council under the *Special Research Initiatives* scheme. A call for proposal(s) for funding may be made at any time.

Contacts

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

Enquiries about the ARC *Special Research Initiatives* scheme may be addressed to:

Director, Program Management
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

Email: ncgp@arc.gov.au
Phone: 02 6287 6600
Fax: 02 6287 6638
Web: <http://www.arc.gov.au>

or other contacts/addresses as may be advised by the ARC from time to time.

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1 Introduction

1.1 Funding Rules

- 1.1.1 This document sets out the funding rules (the Funding Rules) for *Special Research Initiatives* (SRI), a scheme funded under the Australian Research Council's National Competitive Grants Program (NCGP), which comply with the requirements of the *Australian Research Council Act 2001* (the ARC Act).
- 1.1.2 Applicants should read and understand the entire Funding Rules and the ARC's standard Funding Agreement [which is available at <http://www.arc.gov.au>] before submitting an application to the ARC. Applicants are responsible for ensuring that their applications are complete and accurate.
- 1.1.3 These Funding Rules come into effect when they are approved by the Minister for Education, Science and Training.

1.2 NCGP Objectives

- 1.2.1 The Australian Research Council (ARC) is an Australian Government statutory authority established under the ARC Act. The primary functions of the ARC, as specified by the ARC Act, are to make recommendations regarding the funding of research programs, to administer funding to support research programs, and to provide policy advice related to research.
- 1.2.2 The ARC has established a range of competitive funding schemes for the support of research and research training under the framework of the NCGP. A list of current NCGP funding schemes is available on the ARC web site at <http://www.arc.gov.au>.
- 1.2.3 By the operation of a range of funding schemes under the NCGP, the ARC aims to:
- a. Maintain and build on existing research and research training;
 - b. Build the scale and focus of research and research training;
 - c. Encourage inter-disciplinary approaches to research and research training;
 - d. Facilitate collaborative approaches to research and research training; and
 - e. Support research and research training in the following National Research Priority Areas:
 - i. An Environmentally Sustainable Australia;

- ii. Promoting and Maintaining Good Health;
- iii. Frontier Technologies for Building and Transforming Australian Industries;
- iv. Safeguarding Australia.

1.2.4 Descriptions of these National Research Priority Areas and their associated Priority Goals can be found in Appendix 1, and on the ARC web site (<http://www.arc.gov.au>). Assessment of the degree to which a proposed project would contribute to National Research Priority Areas and Priority Goals may be used as part of the selection process in NCGP schemes.

1.3 Special Research Initiatives

- 1.3.1 The ARC takes a proactive role in identifying specific initiatives to be undertaken in this scheme. Initiatives may be identified by the ARC in consultation with institutions, professional organisations and peak bodies representing higher education communities. Initiatives may result from ARC Discipline Cluster Reviews or other discipline research strategies, from reviews of National Competitive Grants Program (NCGP) outcomes in a particular field or from other reviews or reports of a similar nature. The ARC expects that some initiatives may be identified by the ARC Committee of Experts in the course of its work on other NCGP schemes. In providing advice to government on Australian research, the ARC may identify initiatives to be funded under SRI.
- 1.3.2 The SRI initiatives will be identified in Appendix 2 of the Funding Rules. After Ministerial approval has been obtained for the conduct and funding of any new initiative under the SRI scheme, Appendix 2 will be varied as required to provide details pertaining to the particular initiative. The ARC will issue a call for proposals for initiatives in accordance with the Funding Rules.
- 1.3.3 Applications for SRI funding may be submitted only when invited by the ARC by means of a call for proposal(s) for funding. The ARC may invite applications from one or more organisations (which may involve researchers, consultants or facilitators).
- 1.3.4 Funding under the scheme is available to support activities related to high-quality research in all or any fields of research supported by the ARC.
- 1.3.5 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.

- 1.3.6 Specifically, SRI funding supports:
- a. co-operative activities among researchers;
 - b. co-operative development of national and international linkages;
 - c. co-operative development of innovative research areas;
 - d. rapid response to contingencies, e.g. field work at an erupting volcano;
 - e. activities aimed at building the scale and focus of research and research training;
 - f. other activities which the ARC judges to be consistent with the scheme's objectives.
- 1.3.7 Activities funded under this scheme may include, but are not restricted to, one-off conferences, workshops, seminars and development of networks, where the purpose is to initiate collaboration that would be unlikely otherwise to occur and, where appropriate, the dissemination of the outcomes of the collaborative activities funded under the scheme.

2 Fundamental principles and requirements

2.1 Ethics and Research Practices

- 2.1.1 The National Health and Medical Research Council (NHMRC) website, <http://www.nhmrc.gov.au>, provides a series of publications which outline the principles of ethical conduct in research. All funding proposals (Proposals) and subsequently funded projects (Projects) under ARC-funded schemes should conform with the principles outlined in:
- a. the Joint NHMRC/AVCC *Statement and Guidelines on Research Practice* (1997);
 - b. as applicable, the NHMRC's *National Statement on Ethical Conduct in Research Involving Humans*; and
 - c. as applicable, the principles outlined in the NHMRC's codes on animal research.

2.2 Duplication

- 2.2.1 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 applicants or third 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.

2.3 Conflict of Interest

- 2.3.1 All parties involved in or associated with Proposals and Projects have an obligation to disclose affiliations with or financial involvement in any organisation which has, or is likely to have, a direct interest in the subject matter or outputs of the Project. Such parties have an obligation to disclose at the time of submission of Proposals, or reporting on Projects, any conflict of interest which has the potential to influence, or appear to influence, their research and activities, publications and media reports, or applications for funding.

2.4 Acknowledging ARC support

- 2.4.1 Research and other activities funded by the ARC must be appropriately acknowledged. When, at any time during or after completion of a Project, the applicant or any other party publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the Project, acknowledgement must be given, at a prominent place in the publication, to the support of the ARC in a form acceptable to the ARC. Similar efforts should be made to acknowledge ARC support when participating in television and radio programs, and when interviewed by the print media.
- 2.4.2 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC website at <http://www.arc.gov.au>.

3 Changes from last year

- 3.1.1 The 2006 SRI Funding Rules represent a significant change from the 2005 SRI Funding Rules. In part this is attributable to the introduction of a new table in Appendix 2 which will list those initiatives currently approved for funding under SRI and a number of key details/criteria applying to those specific initiatives. The intention is that Appendix 2 will be updated from time to time as specific initiatives are approved for funding under SRI.
- 3.1.2 A number of other clarifications and revisions have been made in the 2006 SRI Funding Rules. Significant changes from the 2005 SRI Funding Rules are listed below:
- a. Confirmation is provided in section 1.1.3 that these Funding Rules come into effect when they are approved by the Minister for Education, Science and Training;
 - b. Section 1.3.5 in these Funding Rules specifies an objective for SRI which is different from the objectives in the 2005 SRI Funding Rules. The 2006 objective reinforces the fact that the scheme supports activities in the pursuit of the ARC's mission and emphasises the ability of the scheme to provide funding to address emerging opportunities and changing priorities;

- c. A number of new sections have been included in these Funding Rules in order to present greater consistency across Funding Rules for the various ARC schemes. The new sections include “Key Dates” (in the preamble) and “Investigator types, roles and eligibility”(see section 6) and more detailed sub-sections under “Application Process” (see section 8) and the “Selection and Approval Process” (see section 9);
- d. Rather than stipulating a requirement for a Proposal to be signed by the Chief Investigator and Deputy Vice-Chancellor (Research) or equivalent, the requirement for signed paper copies of applications for specific initiatives is to be notified in a new table contained in Appendix 2;
- e. The new table provided in Appendix 2 will list those initiatives which are currently approved for funding under SRI and a range of key details and criteria for the relevant initiatives, including:
 - i. the list of initiatives under SRI in this funding round, and their associated funding durations and thresholds (see section 4.1.1);
 - ii. the Eligible Organisations which are able to receive and administer funding under specific initiatives (section 5.1.1);
 - iii. the applicable investigator types for specific initiatives (section 6 refers);
 - iv. any specific objectives being pursued for specific initiatives (section 9.1.3);
 - v. the closing date/time for specific initiatives (section 8.5.1);
 - vi. a number of application form requirements and any requirements for online applications and signed copies of applications for specific initiatives (per section 8); and
 - vii. any other specific requirements for the submission of applications for specific initiatives;
- f. Clarification is provided that funding may be awarded subject to sufficient funds being available under the applicable funding cap(s) and funding split determinations(s) (section 4.1.1);
- g. The criteria against which SRI applications will be assessed have been varied (see section 9.1.3). The new criteria largely encapsulate and build upon the previous criteria, with consideration now being given to factors such as:
 - i. the nature and merit of the Proposal in relation to the objectives of SRI and the particular initiative (including taking into account the Proposal’s goals, method and approach, value for money and budget justification);
 - ii. the parties involved in the Proposal and their track record and capacity to undertake the research/activities;
 - iii. the relevance of the proposal in relation to issues of national significance and importance;

- h. The ARC may specify limits on the number of applications which a person or organisation may submit for initiatives (per section 8.1.2 and column 7 of the table in Appendix 2);
- i. Each Proposal must now nominate one person as the person who is to lead the proposed Project (section 8.1.4);
- j. Under section 8 “Application Process” the invitation for applications need no longer set out the timeframe for the assessment process and notification to applicants. Rather, it is proposed that the timing of such processes will be notified to the research sector in accordance with the general practice adopted for other schemes - that is, by means of a network message once details of the relevant timing are confirmed;
- k. Section 12.3.1 of these Funding Rules provides clarification that, in making public information about a Proposal approved for funding, the ARC may exercise its discretion to use a Project description, including title and summary, that may differ from that provided in the Proposal;
- l. Consistent with other ARC schemes, more detail has been provided regarding the ARC’s role in, and handling of, the assessment and selection process (section 9);
- m. Details concerning the National Research Priorities have been removed from the main part of the document and placed in an Appendix;
- n. Provision has been made for the ARC to notify other addresses where applications are to be sent (see section 8.3.2);
- o. Some scope has been made for the ARC to accept late applications. However, this will be at the ARC’s absolute discretion, and only in exceptional circumstances (section 8.5.1);
- p. Whereas previously the ARC made provision for applications to be able to be made available to assessors, the provision has been broadened in these Funding Rules to enable applications to be given to “third parties” for assessment purposes and confirmation is provided that the ARC will require third parties to maintain confidentiality of the material (sections 8.1.5 and 12.2.1);
- q. An additional circumstance has been added to the list of circumstances where the ARC may vary the Funding Approval. That is, in addition to the previous circumstances listed in the 2005 Funding Rules, the Funding Approval may be varied where the ARC considers and recommends the particular circumstances of the Project warrant variation of the Funding Approval, providing such variation is reasonably justified upon the facts of the case and any variation or change to the project accords with the objectives for the SRI scheme and the specific initiative being funded (section 11.3.3 (e) refers).

- 3.1.3 The ordering of a number of sections and subsections has been altered as part of an ongoing initiative to enhance consistency and common terminology across all NCGP funding schemes. Minor changes in wording have been introduced throughout the Funding Rules.

4 Funding

- 4.1.1 Funding may be provided for short- or long-term activities. The nature of supported activities is specified against the relevant initiatives in column 1 of the table in Appendix 2. The indicative duration and any funding thresholds for specific initiatives are specified against the relevant initiatives in column 5 of the table in Appendix 2. Any funding awarded will be subject to sufficient funds being available under the applicable funding cap(s) and funding split determinations(s).

5 Organisational types, roles and eligibility

- 5.1.1 To be eligible for consideration, each application in SRI must be submitted by an organisation which is eligible to receive and administer ARC financial assistance (an Eligible Organisation). Eligible Organisations for specific initiatives under SRI in this funding round are specified against the relevant initiative in column 2 of the table in Appendix 2.

6 Investigator types, roles and eligibility

- 6.1.1 There are two roles which investigators may undertake under SRI. These are:
- a. Chief Investigator (CI); or
 - b. Partner Investigator (PI).
- 6.1.2 The eligibility requirements for each of these roles are described in Appendix 4. In order to participate in a Project as a Chief Investigator or Partner Investigator, a person must satisfy the eligibility requirements specified for the relevant role.
- 6.1.3 The types of investigator roles for specific initiatives under SRI in this funding round are specified against the relevant initiative in column 3 of the table in Appendix 2.
- 6.1.4 Unless otherwise specified in Appendix 2 against the relevant initiative, each Proposal must have at least one Chief Investigator.

7 Cross-scheme funding

- 7.1.1 The ARC will not duplicate financial assistance for research already funded by the Commonwealth. The ARC reserves the right to determine if a Proposal duplicates research or other activities already being funded. It may recommend that the Minister not approve, or that he or she approve reduced funding for, any such Proposal.

7.1.2 The ARC may liaise with other funding agencies to discuss any overlap between applications in order to avoid duplication of funding.

8 Application process

8.1 Applications

8.1.1 The ARC may seek applications for Proposals relating to an initiative described in Appendix 2, at the times and in the manner determined by the ARC. Applications may be submitted only when invited by the ARC.

8.1.2 The ARC may specify limits on the number of applications which a person or organisation may submit for initiatives. The limits, if any, are specified against the relevant initiative in column 7 of the table in Appendix 2.

8.1.3 Applications should include:

- a. an outline of the activity or activities being proposed;
- b. a statement on how these activities will meet the SRI scheme's objective as stated in Section 1.3.3 and the additional objectives, if any, specified for the specific initiative as shown in column 4 of the table in Appendix 2;
- c. where applicable, how the application falls within one of the National Research Priority Areas indicated at Appendix 1;
- d. an indication of the funding sought, relative to the total cost of the proposed activity; and
- e. a statement of financial and in-kind contributions from participating organisations and from other sources.

8.1.4 Each Proposal must nominate one person as the person who is to lead the proposed Project.

8.1.5 In submitting an application, applicants are consenting to the application's being assessed under the ARC's peer assessment procedures and, accordingly, agree to the release of the application to third parties for assessment purposes.

8.2 Application format

8.2.1 All application documents must be written in English and must comply strictly with the format and submission requirements specified in the call for proposal(s) for the specific initiative.

8.2.2 All pages of additional text should be in black type, use 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.

8.3 Application form and instructions to applicants

8.3.1 When applications are invited they must be submitted on an application form provided by the ARC. The ARC will determine whether or not an on-line application form in the ARC's Grants Application Management System (GAMS) must be used and any requirements for signed paper copies. For specific initiatives these details are shown in column 7 of the table in Appendix 2. Where application forms are to be submitted in GAMS, the full paper application and copy must identically match the contents of the GAMS application form.

8.3.2 Applications must be sent:

by mail, to,

Director, Program Management
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

or by courier, to,

Director, Program Management
Australian Research Council
1st floor
8 Brindabella Circuit
CANBERRA AIRPORT ACT 2609

or such other address as might be notified by the ARC from time to time.

8.4 Number of copies

8.4.1 Unless otherwise specified in column 7 of Appendix 2, an original paper application and one identical paper copy are required in addition to any requirement for a GAMS application form. The application must be clipped with NAL clips, not stapled. Where applicable, the application form completed in GAMS, if any, should be submitted with any additional text, including supporting documentation, interleaved appropriately and the pages numbered sequentially starting at the beginning of the application (further information may be provided in *Instructions to Applicants for specific initiatives*).

8.5 Closing time for applications

- 8.5.1 At the time of inviting applications the ARC will set and advise prospective applicants about the relevant timeframes for the closure of applications. For specific initiatives these details are shown in Column 6 of the table in Appendix 2 against the relevant initiative. Applications may be withdrawn but may not be changed after submission. Additions, deletions and modifications to applications will not be accepted after submission. Subject to this subsection, applications received after the closing time will not be accepted. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late applications.

9 Selection and approval process

9.1 Assessment and selection process

- 9.1.1 Assessment of applications is undertaken by the ARC, which has the right to make recommendations solely on the basis of its expertise, and which may:
- a. assign independent readers/assessors to review the applications;
 - b. seek applicants' comments on assessors' reports;
 - c. rank each application relative to the others on the basis of the application, the assessors' reports and the applicant's rejoinder/response to these assessments;
 - d. assess and recommend budgets; and
 - e. prepare funding recommendations that are submitted to the ARC Board.
- 9.1.2 The ARC has procedures for managing organisational and personal conflicts of interest experienced by Selection Advisory Committee members, and for enabling members to withdraw from the assessment process of particular applications.
- 9.1.3 All applications for SRI financial assistance 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 and the additional objectives, if any, specified for the specific initiative as outlined in column 4 of the table in Appendix 2, 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.
- 9.1.4 The ARC, with the approval of the ARC Board, determines which Proposals will be recommended for funding, including the duration and level of funding to be recommended. The ARC reserves the right to recommend that Proposals not be approved.
- 9.1.5 Proposals which do not satisfy the eligibility criteria will not be recommended or approved for funding.

9.2 Exclusion

- 9.2.1 Applications which contravene the Funding Rules in any way may not be recommended for approval. The ARC will determine if the breach of the Funding Rules has a potential material impact on the assessment of the application. If it is so determined the application will not be recommended for approval. Grounds for exclusion include, but are not limited to:
- a. failing to submit the application through the appropriate party for certification or signature;
 - b. submitting similar or duplicate applications;
 - c. exceeding the limits on the number of applications permissible;
 - d. not meeting the eligibility criteria;
 - e. submitting applications in clinical medicine and dental research and training (unless specific provision is made to fund these activities for specific initiatives as identified in column 1 of Appendix 2 against the relevant initiative);
 - f. providing incomplete, inaccurate or misleading information (refer to section 12.5);
 - g. not meeting the funding threshold when inappropriate budget items are removed.

9.3 Assignment of assessors

- 9.3.1 Each application may be assessed by a number of external assessors. Assessors may be drawn from a range of organisations to minimise potential conflicts of interest. Applications will be assessed against the selection criteria and the reports by the assessors may include written comment.
- 9.3.2 Although an effort may be made to obtain external assessments, the ARC reserves the right to make decisions based on any number of assessments or solely on the assessment of the ARC.

9.4 Applicant rejoinder

9.4.1 Provision may be made for a rejoinder process. If so, the assessors' textual comments will be provided to the administering organisation allowing the opportunity for a rejoinder to the comments. To ensure impartiality, assessors' names are not provided to the applicant. At the same time, the ARC may add questions to the assessments sent to the applicants for rejoinder. In the event that a rejoinder process is to be undertaken, applicants will have 2 weeks 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.

9.5 Interviews

9.5.1 The ARC and the Selection Advisory Committee may short-list proposals and invite some applicants to attend interviews. In the event that interviews are to be conducted, the ARC will advise applicants of the time, date and location of the interview. 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. Applicants are required to meet the cost of their own travel to, and attendance at, interviews.

9.6 Recommendations

9.6.1 The ARC's recommendations will be submitted in accordance with the *Australian Research Council Act 2001* to the Minister for Education, Science and Training (the Minister) for consideration.

9.6.2 The Minister determines which Proposals will be offered funding and the amount and timing of financial assistance to be paid to successful applicants.

9.7 Offer of funding

9.7.1 Successful administering organisations will be:

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

10 Appeals process

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

10.1.2 Appeals must be made on the appeals form available from the ARC website (<http://www.arc.gov.au>). The form must be lodged through the administering organisation's Research Office (or equivalent unit), authorised by the Deputy Vice Chancellor (Research) (or equivalent). Appeals must be received by the ARC within 28 days of the date on the letter notifying the outcome of the application.

10.1.3 Appeals must be addressed to:

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

11 Administration of funding

11.1 Funding Agreement

11.1.1 Funding assistance may not be expended before the Funding Agreement is signed by the administering organisation and the ARC, and until then the ARC will not recognise the Project as having begun.

11.1.2 Successful applicants should familiarise themselves with the Funding Agreement. Subject to a request under section 11.2 being approved by the ARC, an applicant must accept the terms of the Funding Agreement. All funding assistance will be paid to the administering organisation in respect of a Proposal on the terms of the Funding Agreement.

11.1.3 Projects must commence as required by the Funding Agreement.

11.1.4 Administering organisations should note that the Funding Agreement covers post-award management, including reporting and financial management requirements. The draft Funding Agreement can be viewed on the ARC website (<http://www.arc.gov.au>).

11.2 Varying the Funding Agreement

11.2.1 Any requests to vary the Funding Agreement must be forwarded in writing to the ARC by the administering organisation's Research Office (or equivalent unit). Forms are available on the ARC website (<http://www.arc.gov.au>) for variation requests.

11.3 Varying the Funding Approval

11.3.1 Any requests to vary the Funding Approval must be forwarded in writing by the administering organisation's Research Office (or equivalent unit) to the ARC.

11.3.2 The Funding Approval may be varied by varying the amount of financial assistance, the duration of financial assistance, the name of the person leading the Project and the name of the organisation receiving financial assistance.

11.3.3 The Minister may vary the terms of a Funding Approval where:

- a. the administering organisation's involvement with the Project ends or substantially changes;
- b. the Project changes so that it is no longer consistent with the description in the Funding Approval;
- c. the person named in the funding approval as the person leading the Project ceases to lead the Project;
- d. association with any of the collaborating partner organisations involved in the Project ends, or a collaborating partner organisation substantially changes its involvement with the Project; or
- e. the ARC considers and recommends the particular circumstances of the Project warrant variation of the Funding Approval, providing such variation is reasonably justified upon the facts of the case and any variation or change to the Project accords with the SRI objectives and any specific objectives stated in Appendix 2.

11.4 Reports

11.4.1 Administering organisations are required to submit to the ARC reports concerning Projects, in the format and by the due dates detailed in the Funding Agreement.

12 Other matters

12.1 Applicable law

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

12.2 Confidentiality

- 12.2.1 Information contained in applications is regarded as confidential unless otherwise stated. Subject to the need to provide applications to third parties for assessment purposes, and statutory requirements for the ARC to provide information to Parliament or other parties, applications will be received and treated as confidential. Where information contained in applications is made available to third parties for assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.
- 12.2.2 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.

12.3 Project Description

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

12.4 Intellectual property

- 12.4.1 Applicants must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available at <http://www.arc.gov.au>) and act in accordance with any intellectual property policies of the applicant's organisation.

12.5 Incomplete or misleading information

- 12.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 12.5.2 If an application is incomplete, inaccurate or contains misleading information, it may be excluded from any further consideration for funding.
- 12.5.3 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.

12.5.4 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).

12.6 Insurance and liabilities

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 website (<http://www.arc.gov.au>).

Appendix 1: Descriptions of Designated National Research Priorities and associated Priority Goals

Research Priority 1: An Environmentally Sustainable Australia

Transforming the way we utilise our land, water, mineral and energy resources through a better understanding of human and environmental systems and the use of new technologies

Natural resources have traditionally fuelled our national and regional economies. They have the potential to generate further wealth and employment opportunities in the future. But our natural resources and biodiversity must be used on a sustainable basis so that the benefits continue to be enjoyed by future generations.

Australia faces significant environmental challenges:

- Efficient and sustainable water use is a critically important issue for our economic and social development;
- Significant land degradation issues, such as salinity, need to be arrested to underpin our agricultural production systems;
- Climate change can be expected to have complex, long-term consequences for the environment, for our agricultural and marine production systems and for communities; and
- The cleanliness and efficiency of our energy production systems should be enhanced.

There is substantial effort underway to develop more efficient water utilisation practices, to protect our rivers and groundwater resources, and to protect and remediate our fragile soils.

Our agricultural and mining industries are being transformed through the adoption of new technologies, and the development of new types of foods.

This will help to revitalise our regional communities and generate substantial export earnings for the nation over the coming decades.

The Government is committed to meeting the greenhouse gas emissions target set for Australia at Kyoto.

Australia is well placed to take an international lead in developing new and improved energy technologies and in capturing and ‘sequestering’ carbon dioxide.

Other opportunities lie in managing and using our unique, rich land- and marine-based biodiversity, and in developing our deep earth resources.

Australia has a strong record of achievement in research in fields in the natural sciences, such as agriculture, natural resource management, climate change, horticulture, forestry, mining, energy, and marine sciences, as well as in the social sciences and humanities.

We must build on these strengths to improve our competitive advantages while enhancing our understanding of natural systems and the interplay of human activities.

In particular, there needs to be an increased understanding of the contributions of human behaviour to environmental and climate change, and on appropriate adaptive responses and strategies.

To understand and manage these complex interactions better will require significant collaboration within the research community and with other stakeholders.

Priority goals for research fall in the seven areas of water utilisation, transforming resource-based industries, overcoming land degradation, developing cleaner, more efficient fuels and energy sources, managing biodiversity, deep earth resources and responding to climate change and variability.

Priority Goals

- **Water – a critical resource**

Sustainable ways of improving water productivity, using less water in agriculture and other industries, providing increased protection of rivers and groundwater and the re-use of urban and industrial waste waters.

Australia is one of the driest continents and is dependent upon access to freshwater supplies for economic and social development. It has a complex geological structure, a highly variable climate, unique ecosystems, flora and fauna and a distinctive indigenous and settler history. Enhancing our understanding of the links between these factors and water availability will result in a better understanding of sustainable water management practices.

- **Transforming existing industries**

New technologies for resource-based industries to deliver substantial increases in national wealth while minimising environmental impacts on land and sea.

Resource-based industries underpin much of Australia's prosperity and have the potential to do so in the future. For example, Australia remains highly prospective for minerals discoveries and highly attractive for the development of new era foods from agricultural and marine sources. Our competitive advantage and national well being will depend on research and on the development and adoption of new technologies.

- **Overcoming soil loss, salinity and acidity**

Identifying causes and solutions to land degradation using a multidisciplinary approach to restore land surfaces.

The Australian landscape is fragile: soil salinity, acidity, and nutrient levels pose significant, long term challenges for agriculture and the environment. Research is

helping to find solutions to these problems. For example, the National Land and Water Resources Audit shows the extent of salinity, soil erosion and soil acidification in the Australian environment and illustrates Australia's leading edge in national mapping of critical resource data. Further multidisciplinary effort is required to develop sustainable land management practices that are appropriate for Australian conditions and mitigate major land degradation processes and increase biodiversity.

- **Reducing and capturing emissions in transport and energy generation**

Alternative transport technologies and clean combustion and efficient new power generation systems and capture and sequestration of carbon dioxide.

Australia is well positioned to produce world class solutions to reduce and capture greenhouse gas emissions and the Government is committed to meeting the emissions target set for Australia at Kyoto. We are also well placed to develop alternative energy technologies and ecologically sustainable transport and power generation systems.

- **Sustainable use of Australia's biodiversity**

Managing and protecting Australia's terrestrial and marine biodiversity both for its own value and to develop long term use of ecosystem goods and services ranging from fisheries to ecotourism.

Australia has a unique and rich flora and fauna. Many of our complex ecosystems – on which our agricultural, fisheries and tourism industries depend - have adapted to events such as drought and fire, and have been shaped by indigenous and settler management practices. There is a need for a more comprehensive understanding of these natural systems and the interplay with human activities, and the effects of management and protection measures.

- **Developing deep earth resources**

Smart high-technology exploration methodologies, including imaging and mapping the deep earth and ocean floors, and novel efficient ways of commodity extraction and processing (examples include minerals, oil and gas) while minimising negative ecological and social impacts.

Many of Australia's known mineral assets may be nearly exhausted within the next decade. New land-based deposits are believed to be buried deeper in the crust and the deep marine areas surrounding Australia are also largely unexplored. New technologies, such as remote sensing, indicate scientists are on the brink of being able to 'see' inside the earth and identify deeply buried deposits.

- **Responding to climate change and variability**

Increasing our understanding of the impact of climate change and variability at the regional level across Australia, and addressing the consequences of these factors on the environment and on communities.

Australia already has a highly variable climate, and climate change can be expected to have further significant impacts. It is important to enhance our understanding of the consequences of climate change and variability at the regional level across

Australia, and the implications for the environment and for communities. It is also important to explore beneficial adaptation strategies to climate change and variability to ensure ongoing social, economic and environmental well being.

Research Priority 2: Promoting and Maintaining Good Health

Promoting good health and well being for all Australians

Average life expectancies have increased markedly in recent decades. Australians also expect to lead longer and healthier lives in the future, and to remain productive and independent over an extended period.

Enabling individuals and families to make choices that lead to healthy, productive and fulfilling lives will yield economic and social benefits and add materially to national well being.

Australians expect that their children and grandchildren should have a healthy start to life.

Developing strategies to promote the healthy development of young Australians, and addressing the causes and reducing the impact of the genetic, social and environmental factors which diminish their life potential will be critical.

A revolution is also underway at the other end of the life cycle. Australia, like many other developed nations, is undergoing a major demographic shift involving significant growth in the aged population.

To meet this challenge, it will be important to promote healthy ageing by developing better social and medical strategies to ensure that older Australians enjoy healthy and productive lives.

Informed insights into the causes of disease and of mental and physical degeneration will contribute to the achievement of this goal.

All Australians stand to benefit from preventive healthcare through the adoption of healthier attitudes, habits and lifestyles.

Evidence-based preventive interventions may help reduce the incidence and severity of many diseases, including major health problems such as cardiovascular and neurodegenerative diseases, mental ill-health, obesity, diabetes, asthma and chronic inflammatory conditions. These could include interventions that reduce exposure to contamination of the physical environment (e.g. air pollution).

Improvements in the health and well being of the young, of older Australians and in preventive healthcare will be underpinned by research.

However, while Australia has an enviable record in health and medical research, the research effort is spread across the many universities, hospitals and health and medical research institutes, resulting in critical mass only in limited areas of research.

There is also a need to draw on multidisciplinary approaches that include research contributions from the social sciences and humanities.

This priority is designed to promote health and prevent disease through a more focused and collaborative effort.

Priority goals for research fall in the four areas of a healthy start to life, ageing well, ageing productively, preventive healthcare and strengthening Australia's social and economic fabric.

Priority Goals

- **A healthy start to life**

Counteracting the impact of genetic, social and environmental factors which predispose infants and children to ill health and reduce their well being and life potential.

Human health in the developing foetus and in early childhood is critical to the future well being of the adult. Research shows that health and well being in early childhood is predictive of later positive outcomes, and that health in middle and late childhood is also crucial. This goal supports the Government's National Agenda for Early Childhood initiative.

- **Ageing well, ageing productively**

Developing better social, medical and population health strategies to improve the mental and physical capacities of ageing people.

Australia's population is ageing, with a significant projected increase in the number of people aged over 65 and over 85. While Australia is relatively well placed compared with many OECD nations, major shifts in cultural expectations and attitudes about ageing are necessary to respond constructively, at both an individual and population level. A healthy aged population will contribute actively to the life of the nation through participation in the labour market or through voluntary work. This goal supports the Government's National Strategy for an Ageing Australia.

- **Preventive healthcare**

New ethical, evidence-based strategies to promote health and prevent disease through the adoption of healthier lifestyles and diet, and the development of health-promoting products.

Preventive healthcare research will improve the prediction and prevention of disease and injury for all Australians through the adoption of healthier behaviours, lifestyles and environments. Research will generate an improvement in the design, delivery and uptake of programmes such as exercise-based rehabilitation. There are several major disease targets amenable to immediate study, such as cardiovascular health,

neurodegenerative diseases, mental ill-health, obesity, diabetes, asthma and chronic inflammatory conditions. Research on prevention will emphasise interdisciplinary approaches, including research on ethics, drawing on contributions from the social sciences and humanities, as well as from the health and medical sciences. It will also focus on developing new health promoting foods and nutraceuticals. This goal supports the Government's Focus on Prevention initiative.

- **Strengthening Australia's social and economic fabric**

Understanding and strengthening key elements of Australia's social and economic fabric to help families and individuals live healthy, productive, and fulfilling lives.

Living in today's society involves a complex web of choices, yet many of the traditional support structures are weaker than they have been in the past. Enabling people to make choices that lead to positive pathways to self reliance and supportive family structures is more important than ever. The interactions between the social safety net, social and economic participation, financial incentives and community and private sources of support are critical in helping people maximise their potential and achieve good, healthy, lifetime outcomes. In the decade ahead, it will be vital to understand and support the drivers for workforce participation and the broader social and economic trends influencing Australian families and communities. This goal supports the Government's welfare reform and participation agendas. Research in this area will emphasise interdisciplinary approaches, drawing on contributions from the economic, behavioural and social sciences

Research Priority 3: Frontier Technologies for Building and Transforming Australian Industries

Stimulating the growth of world-class Australian industries using innovative technologies developed from cutting-edge research

Progress and wealth often derive from the unforeseen application of new discoveries. Australia must be at the leading edge if it is to stay abreast of international developments and take advantage of opportunities.

Our national capabilities in emerging sciences and their underpinning disciplines determine our capacity to develop and implement new technologies. Australia has a strong base of expertise, skills and technological capacities in the fundamental sciences and key technologies.

Our strengths are in a wide range of areas such as biotechnology, material sciences, information and communications technology (ICT), photonics, nanotechnology and sensor technology.

ICT is currently the critical enabling technology and is a major contributor to national productivity and growth.

But breakthrough science underpins technological advancements in many areas and Australia needs to foster an environment that stimulates creativity and innovation.

Applications for frontier technologies are potentially very large. Australia has the capacity to exploit niche markets for new products and services.

Australia also has an enviable track record as an innovator and developer of advanced materials and must grasp the opportunity to stay ahead.

Smart information use involving improved data management, intelligent transport systems and digital media to develop creative applications for digital technologies provides huge opportunities to improve the performance of key Australian industries. Australia needs to invest in this research area as it is fundamental to our future competitiveness and well being.

This priority will help to strengthen the capacity of Australian researchers to participate in new areas of research, enhance Australia's international scientific reputation, stimulate local expertise, and help create vibrant new industries.

A better understanding of the conditions that are conducive to innovation will ensure that Australia's investment in research will maximise the benefits for Australia.

Enhanced research effort will also be achieved through initiatives that develop a critical mass of researchers in key areas.

Priority goals for research fall in the five areas of breakthrough science, frontier technologies, advanced materials, smart information use, and promoting an innovation culture and economy.

Priority Goals

- **Breakthrough science**

Better understanding of the fundamental processes that will advance knowledge and facilitate the development of technological innovations.

Breakthrough science underpins technological innovation across a range of industries critical to maintaining Australia's position as a developed country. Some examples include bio-, cultural- and geo-informatics, nano-assembly and quantum computing. Technological advances are often unexpected and a strong foundation in mathematics and the fundamental sciences will provide an environment that fosters creativity and innovation. Early participation in leading edge areas of research will enable Australian researchers to benefit more fully from international developments.

- **Frontier technologies**

Enhanced capacity in frontier technologies to power world-class industries of the future and build on Australia's strengths in research and innovation (examples include nanotechnology, biotechnology, ICT, photonics, genomics/phenomics, and complex systems).

The potential applications of frontier technologies across a range of industries in Australia are vast. Australia has significant capacity to exploit niche markets for new products and services emerging from frontier technologies. Australia has world-class research expertise in many such areas. Some examples include nanotechnology, biotechnology, ICT, photonics, genomics and phenomics. Also important are advanced frameworks such as complex systems in which these technologies are applied. Future directions in this priority area need to target the cutting-edge science critical for each emerging technology.

- **Advanced materials**

Advanced materials for applications in construction, communications, transport, agriculture and medicine (examples include ceramics, organics, biomaterials, smart material and fabrics, composites, polymers and light metals).

The development of advanced materials will underpin growth in many areas of industrial and economic activity in Australia. Australia has substantial infrastructure in this area and an enviable track record as an innovator and developer of advanced materials. The era of advanced materials is just beginning, in spite of the tremendous progress in recent years. Substantial scientific and technological challenges remain ahead, including the development of more sophisticated and specialised materials. Some examples include ceramics, organics, biomaterials, smart materials and fabrics, composites, polymers, and light metals.

- **Smart information use**

Improved data management for existing and new business applications and creative applications for digital technologies (examples include e-finance, interactive systems, multi-platform media, creative industries, digital media creative design, content generation and imaging).

ICT applications are providing huge opportunities to deliver new systems, products, business solutions, and to make more efficient use of infrastructure. Examples include e-finance, multi-media, content generation and imaging. Improved data management is central to the future competitiveness of key industries such as agriculture, biotechnology, finance, banking, education, transport, government, and health and ‘info-tainment’. The ability of organisations to operate virtually and collaborate across huge distances in Australia and internationally hinges on our capabilities in this area. The media and creative industries are among the fastest growing sectors of the new economy. Research is needed to exploit the huge potential in the digital media industry.

- **Promoting an innovation culture and economy**

Maximising Australia’s creative and technological capability by understanding the factors conducive to innovation and its acceptance.

Understanding the factors that lead to highly creative and innovative ideas and concepts, and the conditions that lead to their introduction, transfer and uptake is critical for any nation that aspires to lead the world in breakthrough science, frontier technologies, and in other forms of innovation. Promoting an innovation culture and economy requires research with a focus on developing and fostering human talent,

societal and cultural values favourable to creativity and innovation, and structures and processes for encouraging and managing innovation.

Research Priority 4: Safeguarding Australia

Safeguarding Australia from terrorism, crime, invasive diseases and pests, strengthening our understanding of Australia's place in the region and the world, and securing our infrastructure, particularly with respect to our digital systems.

The importance of security and safety to Australia has been underscored by recent events. Australia has to be capable of anticipating and tackling critical threats to society, strategic areas of the national economy and the environment.

The threats can potentially come from within and outside Australia.

The world is now characterised by the widespread and rapid movements of people, digitally coded data, goods and services, and exotic biological agents.

Critical infrastructure in Australia is increasingly dependent on digital technology for its management and integration.

Information protection and the integrity of security systems are now more important than ever before.

It is also necessary to protect the status of Australia as a nation free of many of the diseases affecting primary production around the world.

Terrorism has emerged as a very real global threat and crime is taking a significant toll on Australian society and economy.

Maintaining the operational advantage of Australia's defence forces through superior capabilities is also fundamental to our national security.

Enhancing our nation's understanding of social, political and cultural issues will help Australia to engage with our neighbours and the wider global community and to respond to emerging issues.

Leading edge research in Australia is already yielding high dividends and as a national research priority will improve the effectiveness of that contribution.

Stronger research capabilities will ensure that solutions are tailored to Australia's unique circumstances, reflecting its geographic features and small population.

Greater collaboration within the research community and with other stakeholders will allow us to better understand and manage potential threats to Australia.

Harnessing the knowledge and capabilities across Australia offers us the best chance of developing innovative and rapid solutions to serious threats.

Australia's international relations and its regional influence will be strengthened through new collaborative approaches and new science and technologies that enhance security and safety.

The heightened interest in personal and electronic security across the world also provides opportunities for Australian solutions.

Priority goals for research fall in the five areas of critical infrastructure, understanding our region and the world, protecting Australia from invasive diseases and pests, protecting Australia from terrorism and crime, and transformational defence technologies.

Priority goals

- **Critical infrastructure**

Protecting Australia's critical infrastructure including our financial, energy, communications, and transport systems.

Protecting our critical infrastructure is important to national security and to the social and economic well being of Australia. An important aspect of this priority goal is e-security which is an enabler of e-commerce. Maintaining a critical mass of research in e-security will be essential in providing Australia with the tools to protect our way of life.

- **Understanding our region and the world**

Enhancing Australia's capacity to interpret and engage with its regional and global environment through a greater understanding of languages, societies, politics and cultures.

Social, cultural and religious issues are of growing significance due to the insecurities of globalisation and the increasing role of non-state players in the security environment. Australia's capacity to interpret and engage with its regional and global environment will be substantially improved by enhancing its research base in apposite languages, societies and cultures. An approach that enhances Australia's capacity to interpret itself to the rest of the world is also needed.

- **Protecting Australia from invasive diseases and pests**

Counteract the impact of invasive species through the application of new technologies and by integrating approaches across agencies and jurisdictions.

Australia is free of many of the pests and diseases affecting primary production around the world. This status needs to be protected as the introduction of exotic species has the potential to adversely affect our exports and the environment. Australia already has strong skills and expertise in this area of research and further work will offer immediate benefits to the community. A greater level of coordination

of our research effort will mean that Australia can more effectively develop innovative and rapid solutions to serious threats.

- **Protecting Australia from terrorism and crime**

By promoting a healthy and diverse research and development system that anticipates threats and supports core competencies in modern and rapid identification techniques.

Protecting Australia from terrorism is now more important than ever before in light of recent events and our involvement in the ‘war on terror’. The new threat requires a more sophisticated response which should harness Australia’s research capabilities, and which will focus on all phases of counter-terrorism; prevention, preparedness, detection, response and recovery. Crime takes a significant toll on Australian society and economy. The June 2000 report from the Prime Minister’s Science, Engineering and Innovation Council estimated that crime costs Australia at least \$18 billion per annum. Personal identification, information protection and the integrity of security systems are fundamental towards ensuring the national security of Australia. An effective solution will include building on Australia’s existing strengths in rapid detection using new analytical technologies and managing significant data collections.

- **Transformational defence technologies**

Transform military operations for the defence of Australia by providing superior technologies, better information and improved ways of operation.

Australia has a small defence force to protect a large continent and a substantial maritime region of responsibility. Its operational advantage has been maintained through a superior capability which is dependent on leveraging innovative technologies. Although some benefits can be gained from overseas research, Australia has to conduct its own research to address uniquely Australian demands. A systems approach which harnesses the research capabilities of all stakeholders is essential to the successful development and introduction of innovative technologies.

Appendix 2: Particular SRI initiatives undertaken under these Funding Rules

Initiative being funded (column 1)	Eligible Organisations ¹ (column 2)	Applicable Investigator types ² (column 3)	Specific objectives (column 4)	Indicative duration of funding and funding thresholds (column 5)	Closing Date/ time for applications (column 6)	Application form requirements and signed copies (column 7)	Other requirements for submission of applications (column 8)
<p>Title: <i>Thinking Systems</i></p> <p>Joint ARC/NHMRC funding initiative addressing the National Research Priority goals for <i>Breakthrough Science</i> and <i>Frontier Technologies</i>.</p> <p>This cross-disciplinary, collaborative and ideally cross-institutional initiative is expected to lead to the generation and application of new knowledge in the development of intelligent machines, robots and information systems.</p> <p>Funding for this initiative may be provided for clinical medicine and dental research and training.</p>	<ul style="list-style-type: none"> Organisations referred to at Appendix 1 of the <i>ARC/NHMRC Thinking Systems Call for Proposals under ARC Special Research Initiatives for Funding commencing in 2006</i> (the TS call document). 	<ul style="list-style-type: none"> Chief Investigator Partner Investigator Each proposal must have at least one CI. The first-named CI will be considered the 'Project Leader' and must be an employee, or holder of an adjunct appointment or equivalent, at the proponent eligible organisation 	<ul style="list-style-type: none"> Support novel, innovative and cross-disciplinary research at some or all of the intersections of neuroscience, genetics, proteomics, cognitive science, artificial intelligence, computer science and information technology; Increase understanding of how information is transmitted, received, processed and understood in cognitive systems, including artificial systems; Increase understanding of biological hardware, programming, cognition and the operation of thinking systems. 	<ul style="list-style-type: none"> Funds may be awarded for 1 to 5 years, subject to Parliamentary appropriations Total funds of up to \$750,000 (GST-exclusive) per year averaged over the life of the project are available for any one project. 	<ul style="list-style-type: none"> 17:00 AEDT Wednesday 14 December 2005 	<ul style="list-style-type: none"> Online application within the ARC's online application system In addition to the above, a full paper application and one identical copy must be submitted to the address specified in section 8.3.2 of the SRI Funding Rules. The paper copies above must be signed by the CEO or DVC(R) of the Eligible Organisation (EO) administering the project, or equivalent officer, who has the power to make and vary contracts on behalf of the EO. 	<ul style="list-style-type: none"> The EO is to obtain and retain signatures of all participants named on the application form. If an applicant is associated with a Commonwealth-funded research Centre the application must be accompanied by a letter signed by the Centre Director which complies with the requirements of Section 3.4.2 of the TS call document.

¹ Note: Where the term HEO is used in this column it refers to those organisations listed in Appendix 3.

² Refer Appendix 4 for description of investigator types and their associated eligibility criteria.

Appendix 3: Higher Education 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
RMIT University
Swinburne University of Technology
The University of Melbourne
University of Ballarat
Victoria University of Technology

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 4: Investigator types, roles and eligibility

There are two roles available for investigators under SRI. These are:

- a. Chief Investigator (CI); or
- b. Partner Investigator (PI).

Eligibility criteria for Chief Investigators

To be eligible to apply as a CI, the applicant must meet the following criteria:

- 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 grant. If the person does not have permanent resident status, he or she must obtain temporary resident status from the Department of Immigration and Multicultural and Indigenous Affairs before taking up the grant;
- c. The person must meet at least one of the following three criteria:
 - i. be an employee of an Eligible Organisation (listed in Appendix 2) 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 a Federation Fellowship.

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.

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

A researcher who is eligible to be a CI is not eligible to be a Partner Investigator (PI) in the same application round.

Eligibility criteria for Partner Investigators

Persons who are not eligible to be a CI but who are providing significant commitment, intellectual input, relevant expertise and significant financial contribution to the project can apply as a Partner Investigator (PI). To be eligible to apply as a PI, a person must:

- a. be ineligible to be a CI in that 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).