



# Special Research Initiatives Funding Rules for funding commencing in 2011

## *Australian Research Council Act 2001*

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I, KIM CARR, Minister for Innovation, Industry, Science and Research, having satisfied myself of the matters set out in section 59 of the *Australian Research Council Act 2001*, approve these Funding Rules under section 60 of the Act.

Dated

19 July 2010

KIM CARR

Minister for Innovation, Industry, Science and Research

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## Acronyms

The following acronyms are used in ARC Funding Rules.

AEST	Australian Eastern Standard Time
AIMS	Australian Institute of Marine Science
AIATSIS	Australian Institute of Aboriginal and Torres Strait Islander Studies
ANSTO	Australian Nuclear Science and Technology Organisation
APD	Australian Postdoctoral Fellowship
APDI	Australian Postdoctoral Fellowship (Industry)
APF	Australian Professorial Fellowship
ARC	Australian Research Council
ARCIF	Australian Research Council International Fellowship
ARF	Australian Research Fellowship
CE	<i>ARC Centres of Excellence</i> and <i>ARC Centres</i>
CoE	ARC College of Experts
CI	Chief Investigator
CRC	Cooperative Research Centre
CSIRO	Commonwealth Scientific and Industrial Research Organisation
DSTO	Defence Science and Technology Organisation
DVC (R)	Deputy Vice Chancellor (Research)
GA	Geoscience Australia
GST	Goods and Services Tax
HECS	Higher Education Contribution Scheme
HELP	Higher Education Loan Programme
IRF	Indigenous Researcher Fellowship
NCGP	National Competitive Grants Program
NHMRC	National Health and Medical Research Council
PI	Partner Investigator
QEII	Queen Elizabeth II Fellowship
SRI	<i>ARC Special Research Initiatives</i>
SSF	Super Science Fellowship
UA	Universities Australia

## Key Dates

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

## Contacts

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

Enquiries, requests for information and documents submitted as requested in these Funding Rules are to be directed to:

by mail:

*Special Research Initiatives* Coordinator  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

by courier :

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

other:

Email: [sri@arc.gov.au](mailto:sri@arc.gov.au)  
Phone: 02 6287 6600  
Fax: 02 6287 6638  
Web: <http://www.arc.gov.au>

Appeals must be addressed and sent to:

by mail:

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

by courier :

The Appeals Officer  
Australian Research Council  
1st Floor, 8 Brindabella Circuit  
CANBERRA AIRPORT ACT 2609

## 1. Name of Funding Rules

- 1.1.1 These Funding Rules are the Australian Research Council *Special Research Initiatives* Funding Rules for funding commencing in 2011.

## 2. Commencement

- 2.1.1 The Funding Rules shall take effect upon registration on the Federal Register of Legislative Instruments.

## 3. Definitions

- 3.1.1 In these Funding Rules, unless the contrary intention appears:

**Adjunct or Emeritus Appointment** or equivalent means that an Eligible Organisation has a formal agreement with a researcher which establishes an ongoing association with the Eligible Organisation, of the nature of an emeritus or honorary academic or visiting fellow. The ARC may seek documentary evidence of such an association.

**Administering Organisation** means an Eligible Organisation which submits a Proposal for funding under the *Special Research Initiatives* scheme and which will be responsible for the administration of the funding if the proposed project is approved for funding.

**Applicant** means the Administering Organisation. Funding under the *Special Research Initiatives* scheme is provided to Administering Organisations, not to individual researchers.

**ARC** means the Australian Research Council, as established under the ARC Act.

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

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

**ARC Centre Fellowship** means an ARC Centre Fellowship awarded under the ARC *Centres of Excellence* Scheme.

**ARC Fellowship** means a position held by a researcher where the salary is funded wholly or partly by the ARC and where the researcher has been nominated in a Proposal to hold a Fellowship. An ARC Fellowship may be awarded at a number of levels and in various ARC schemes. ARC Fellowship includes Australian Postdoctoral Fellowship (APD), Australian Research Fellowship (ARF), Queen Elizabeth II Fellowship (QEII), Australian Professorial Fellowship (APF), Australian Postdoctoral Fellowship (Industry) (APDI), Linkage Industry Fellowship (LIF), ARC Centre Fellowship, ARC International Fellowship (ARCIF), Federation Fellowship, Future Fellowship, Australian Laureate

Fellowship, Super Science Fellowship and Indigenous Researcher Fellowship (IRF).

**ARC Web Site** is <http://www.arc.gov.au>.

**Australian Laureate Fellow** means a researcher whose salary is funded under the *ARC Australian Laureate Fellowships* scheme.

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

**Chief Investigator** means a researcher who satisfies the eligibility criteria for a Chief Investigator.

**Collaborating Organisation** means an Eligible Organisation which is not the Administering Organisation but which is identified in the Proposal as a contributor to the project.

**Commonwealth** means the Commonwealth of Australia.

**Commonwealth-funded Research Centre** means a research centre substantially funded from Commonwealth funding sources and includes ARC Centres, CRCs and NHMRC Program Grants and Centres of Clinical Research Excellence. It does not include Research Networks funded by the ARC.

**Conflict of Interest** means an actual or perceived conflict between a person's public duty and their private or personal interest.

**Earnings** means the amount paid directly or indirectly as remuneration for work a person undertakes or services he/she performs. It includes amounts paid under employment and/or consultancy arrangements.

**Eligible Organisation** means an organisation which is eligible to apply for and receive funding under the *Special Research Initiatives Funding Rules* as specified in Section 7.1.

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

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

**Funding Rules** means this document.

**Future Fellow** means a researcher whose salary is funded under the *ARC Future Fellowships* scheme.

**GST** has the meaning as given in section 195-1 of the *A New Tax System (Goods and Services Tax) Act 1999*.

**Indigenous Researcher Fellow** means a researcher whose salary is wholly or partly funded under an IRF (under the *Discovery Indigenous Researchers Development* scheme).

**Medical and Dental Research** means research and/or training which, in the opinion of the ARC, has a significant focus on near-term clinical medical (including dental) outcomes as defined on the ARC website ([http://www.arc.gov.au/applicants/md\\_research.htm](http://www.arc.gov.au/applicants/md_research.htm)).

**Minister** means the Minister from time to time responsible for the administration of the ARC Act, or the Minister's delegate.

**National Research Priority** means a national research priority detailed on the ARC website.

**Partner Investigator** means a researcher who satisfies the eligibility criteria for a Partner Investigator.

**Partner Organisation** means an organisation, other than an Eligible Organisation, which is to be a contributor to the project.

**Project Leader** means the first-named researcher nominated on a Proposal who is a CI.

**Proposal** means a request to the ARC for the provision of financial assistance for a research project which is submitted in accordance with Funding Rules approved by the Minister.

**Queen Elizabeth II Fellow** means a researcher whose salary is wholly or partly funded under a QEII (under the *Discovery Projects* scheme).

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

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

**Special Studies Program** means an approved program providing release from normal duties for research related activity or professional development purposes.

**Super Science Fellow** means a researcher whose salary is funded under the *Super Science Fellowships* scheme.

## **4. Introduction**

### **4.1 Overview and NCGP Objectives**

- 4.1.1 This document sets out the funding rules for the *Special Research Initiatives* scheme, a scheme funded under the Australian Research Council's National Competitive Grants Program (NCGP), which comply with the requirements of the ARC Act.
- 4.1.2 All parties involved in Proposals should read and understand the Funding Rules and the ARC's standard Funding Agreement (which is available at the ARC Web Site) before submitting a Proposal to the ARC. Applicants are responsible for ensuring that their Proposals are complete and accurate.
- 4.1.3 Funding under *Special Research Initiatives* is provided to Administering Organisations, not to persons. That is, the ARC will accept a Proposal only from an Eligible Organisation and not from any individual researcher or researchers.
- 4.1.4 These Funding Rules are current as at April 2010 and have been prepared in accordance with the requirements of the ARC Act in force then. These Funding Rules are subject to change at any time, for reasons including any subsequent amendment to, replacement of or supplementation of the ARC Act.
- 4.1.5 The 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. The ARC offers a range of funding schemes under the NCGP, details of which can be found on the ARC website.
- 4.1.6 Descriptions of the National Research Priorities and their associated Priority Goals can be found on the ARC website.

### **4.2 Special Research Initiatives**

- 4.2.1 The ARC takes a proactive role in identifying specific initiatives to be undertaken in this scheme. Initiatives may be identified by the Minister or by the ARC, or arise from consultation with institutions, professional organisations and peak bodies representing higher education communities. They may also 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 College of Experts in the course of its work on other NCGP schemes. Furthermore, in providing advice to government on Australian research, the ARC may identify initiatives to be funded under the *Special Research Initiatives* scheme.
- 4.2.2 The objective of the *Special Research Initiatives* 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.

- 4.2.3 Individual *Special Research Initiatives* will be identified in Appendix 2 of the Funding Rules. The nature of supported activities is specified against the relevant initiatives in column 1 of the table in Appendix 2. 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 which accords with the Funding Rules.
- 4.2.4 Applications for *Special Research Initiatives* funding may be submitted only when invited by the ARC by means of a call for proposals for funding. The ARC may invite applications from one or more organisations (which may involve researchers, consultants or facilitators).
- 4.2.5 Funding under the *Special Research Initiatives* scheme is available to support activities related to high-quality research in all or any fields of research supported by the ARC.
- 4.2.6 Specifically, *Special Research Initiatives* scheme 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.
- 4.2.7 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.

### **4.3 Fundamental principles and requirements**

#### **4.3.1 Ethics and Research Practices**

- 4.3.1.1 The National Health and Medical Research Council (NHMRC) web site, <http://www.nhmrc.gov.au>, provides a series of publications which outline principles of ethical conduct in research. All Proposals and ARC-funded research projects must, unless otherwise approved by the ARC, conform to the principles outlined in the following and their successor documents:
- a. NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007);

- b. as applicable, the NHMRC/ARC/AVCC National Statement on Ethical Conduct in Human Research (2007); and
- c. as applicable, codes on animal research promulgated by the NHMRC.

4.3.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

#### **4.3.2 Non-duplication**

4.3.2.1 Unless otherwise specified for the relevant initiative, the ARC will not duplicate financial assistance for research already funded by the Commonwealth or which is likely to be funded from other Commonwealth funding sources (including under other ARC funding schemes).

#### **4.3.3 Conflict of Interest**

4.3.3.1 All parties involved in or associated with Proposals and ARC-funded research projects are required to disclose to the ARC, and the other parties involved in the Proposal, any actual or potential conflict of interest. Conflicts must be disclosed to the ARC at the time of the submission of a Proposal, or as soon as possible if a conflict arises during the course of an ARC-funded project

4.3.3.2 If, in the opinion of the ARC, any party involved in or associated with a Proposal has failed to disclose any such conflict of interest, the ARC may in its absolute discretion decide to not recommend for approval any or all Proposals involving that party.

4.3.3.3 If a conflict of interest exists or arises, the Administering Organisation must have processes in place and documented for managing the conflict of interest for the duration of the project. Such processes must comply with the NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007) and any relevant successor document. In the event of any inconsistency between the original and any successor document, the latter document is to apply.

#### **4.3.4 Acknowledging ARC support**

4.3.4.1 The Funding Agreement requires that any ARC contribution to research and other activities funded by the ARC be appropriately and prominently acknowledged in any research output or communication in any media at any time during or after completion of a project.

4.3.4.2 Advice on acceptable forms of acknowledgement and use of the ARC logo is provided on the ARC Web Site.

#### **4.3.5 Dissemination of research outputs**

4.3.5.1 The Australian Government makes a major investment in research to support its essential role in improving the wellbeing of our society. To maximise the benefits from research, findings should be disseminated as broadly as possible to allow access by other persons and the wider community.

- 4.3.5.2 The ARC therefore encourages researchers to consider the benefits of depositing their data and any publications arising from a research project in an appropriate subject and/or institutional repository.

## **5. Changes from last year**

- 5.1.1 Clarifications and revisions have been made in these Funding Rules. Applicants and other parties involved in Proposals should read and understand the entire Funding Rules and standard Funding Agreement before a Proposal is submitted to the ARC.

## **6. Funding**

### **6.1 Level of funding**

- 6.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.

- 6.1.2 Where applicable, the minimum and/or maximum levels of funding which will be provided by the ARC for a project are specified against the relevant initiatives in column 5 of the table in Appendix 2. If a Proposal requests less than the specified minimum level of funding, or more than the specified maximum level of funding, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.

- 6.1.3 To maximise the impact of ARC funding, participants must obtain commitments for additional financial contributions from a variety of sources including the Administering Organisation, Collaborating Organisation(s) and Partner Organisation(s). Financial contributions from these sources can take the form of cash contributions and/or in-kind contributions.

- 6.1.4 The ARC reserves the right to recommend levels of funding for a project at levels which may differ from those requested in the Proposal.

### **6.2 Period of funding**

- 6.2.1 Financial assistance may be payable under these Funding Rules for *Special Research Initiatives* projects in respect of the calendar year 2011 and any subsequent years to which the ARC Act applies. Funding for approved projects will commence with effect from the date specified against the relevant initiatives in column 5 of the table in Appendix 2.

- 6.2.2 Funding may be provided for short- or long-term activities. 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 for *Special Research Initiatives*, the provisions of the ARC Act, and continued satisfactory progress of the project.

- 6.2.3 The ARC may recommend funding for a project for a duration different from that requested in the Proposal.

### **6.3 Types of research supported**

6.3.1 Subject to Sections 6.4 and the nature of the supported activities specified against the relevant initiatives in column 1 of the table in Appendix 2, the *Special Research Initiatives* scheme supports all types of research, 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. Such research 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. Such research 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.

### **6.4 Project budget and use of funding**

6.4.1 The *Special Research Initiatives* scheme funds only those costs which directly support a research project. The ARC may in its absolute discretion determine whether any project costs meet this requirement.

6.4.2 Unless specified to the contrary in Appendix 2 for the relevant initiative, the following project costs may be supported under the *Special Research Initiatives* scheme:

- a. personnel (salaries and on-costs) for research associates, technicians and laboratory attendants, but excluding those items not permitted pursuant to subsections 6.4.3.b and e;
- b. teaching relief for Chief Investigators (CIs), but only where the request is justified to the satisfaction of the ARC (see subsection 6.4.3.c);
- c. equipment;
- d. maintenance;
- e. the following travel costs:
  - i. domestic and international travel costs for CIs and research support personnel (excluding Partner Investigators (PIs)). Funding is permitted for domestic and international travel associated with the project, including to foster and strengthen collaborations between researchers in Australia and overseas; and
  - ii. domestic travel costs for PIs visiting from overseas as part of the short-term project support permitted under subsection 6.4.3.e for these investigators. (International travel costs are not permissible for PIs)

6.4.3 Unless otherwise specified in Appendix 2 for the relevant initiative, the *Special Research Initiatives* scheme will not provide funds for the following items:

- a. capital works and general infrastructure, in whole or in part;
- b. salaries and on-costs of CIs and PIs;
- c. relief of CIs from Teaching or Other Duties unless fully justified and approved by the ARC as a Special Condition;
- d. travel and related expenses for researchers when on a Special Studies Program.
- e. research support for Partner Investigators apart from short-term project support for investigators visiting from overseas such as domestic travel;
- f. international students' fees, Higher Education Contribution Scheme (HECS) and Higher Education Loan Programme (HELP) liabilities;
- g. costs not directly related to a project; or
- h. basic facilities.

6.4.4 The Administering Organisation must agree to provide the following basic facilities (where relevant to the Proposal), which will not be funded under *Special Research Initiatives*:

- a. accommodation (e.g. laboratory and office space, suitably equipped and furnished in standard ways);
- b. access to film or music editing facilities;
- c. access to a basic library collection;
- d. provision of computers, including laptops (excluding access to high-performance computers or other specialised applications) and basic computing facilities such as printers, word processing and other standard software; and
- e. use of photocopiers, telephones, mail, fax, email and internet services.

6.4.5 Eligible Organisations must ensure that organisational in-kind contributions in the budget section of the Proposal do not include salary for any Commonwealth funded Fellowships, unless it is salary committed by the Eligible Organisation over and above the Commonwealth component. The inclusion of a Commonwealth Fellow salary as an organisational in-kind contribution may lead to a proposal being excluded and not recommended for funding.

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

6.5.1 Unless otherwise specified in Appendix 2 for the relevant initiative, the *Special Research Initiatives* scheme does not support:

- a. Medical and Dental Research, as detailed on the ARC website (Section 9.3);
- b. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, film, broadcasts, designs and literary works. These areas are generally covered by other Commonwealth Government funding agencies;
- c. projects such as uncritical compilations and purely descriptive catalogues or editions that do not involve original research;

- d. production of teaching materials, even though some research may be involved in their production;
- e. compilation of data, unless this is an integral part of a project, in which case the Proposal must include a statement indicating the research objectives to which the data would contribute; and/or
- f. development of research aids and tools (including computer programs), unless they form an integral part of the Proposal, in which case the Proposal must include a statement indicating the research objectives to which these activities would contribute.

6.5.2 If the ARC considers that a Proposal seeks funding for a project that involves any of the items not permitted under Sections 6.4 or 6.5, then to that extent part or all of the Proposal will not be recommended or approved for funding. However, if the ARC considers that other parts of the proposed project remain worthy of support, the ARC may recommend that a reduced amount of funding be approved for the Proposal.

## **6.6 Number of Proposals and funded projects**

6.6.1 The maximum number of Proposals permitted is specified in column 8 of the table in Appendix 2. Submitting Proposals that exceed this limit may result in all Proposals involving the relevant person(s) not being recommended or approved for funding.

## **7. Organisational types, roles and eligibility**

### **7.1 Eligible Organisations**

7.1.1 A Proposal may be submitted only by an Eligible Organisation. Eligible Organisations for specific initiatives under *Special Research Initiatives* are specified against the relevant initiative in column 2 of the table in Appendix 2.

### **7.2 Partner Organisations**

7.2.1 If specified as a requirement in column 8 of Appendix 2 for a particular initiative, a Proposal must identify at least one Partner Organisation which:

- a. will be involved in the proposed project. Interaction with a Partner Organisation is required for the whole period of the project; and
- b. makes an agreed contribution to the project.

7.2.2 Proposals which fail to meet any of the requirements specified in Section 7.2 will not be recommended or approved for funding.

## **8. Roles and eligibility for researchers**

### **8.1 Researcher roles and general eligibility**

8.1.1 Roles that may be undertaken by persons under *Special Research Initiatives* are:

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

- 8.1.2 Unless specified in Appendix 2 against the relevant initiative, each Proposal must nominate at least one CI.
- 8.1.3 The eligibility requirements for each of these roles are described in Section 8 and Appendix 3. In order to participate in a Project as a CI or PI, all persons must satisfy the eligibility requirements specified for the relevant role.
- 8.1.4 The types of investigator roles for specific initiatives under *Special Research Initiatives* in this funding round are specified against the relevant initiative in column 3 of the table in Appendix 2.
- 8.1.5 Note: If a person has been nominated for an incorrect role on a Proposal (that is, for a role for which he/she does not satisfy the eligibility criteria), the Proposal may be funded only if, upon request by the ARC, the Administering Organisation provides the ARC with relevant certifications from the person, and evidence that he/she satisfies the eligibility criteria, for the role he/she is to perform.
- 8.1.6 The first-named person nominated on a Proposal who is a CI will be considered the 'Program Leader' of the project.
- 8.1.7 A person nominated as a CI or PI must take significant intellectual responsibility for the proposed project, 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 determine whether a person has the requisite capacity to perform the role.
- 8.1.8 At the time of the submission of a Proposal all obligations regarding previously funded projects involving the nominated CIs on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory progress and final reports.
- 8.1.9 If the ARC considers that a person nominated in the Proposal as a CI or PI does not meet the eligibility criteria in this Section or Appendix 3 for the role which that person is to perform, the Proposal will not be recommended or approved for funding.

## **9. Cross-scheme issues**

### **9.1 Cross-scheme eligibility**

- 9.1.1 Applicants should note the eligibility criteria for access to other ARC funding schemes, as expressed in the funding rules for those schemes. The ARC reserves the right to change these criteria in future funding rounds. Funding Rules for all ARC schemes may be found on the ARC website.
- 9.1.2 If a researcher on a Proposal is named in a funding request for any proposed research project (including fellowship, salary or equipment) that has been

submitted or approved under any other ARC scheme or to any other Commonwealth funding body, the Proposal must contain details of the request and summary details of all other funding.

## **9.2 Non-duplication and Cross-scheme Funding**

- 9.2.1 Unless otherwise specified for the relevant initiative, the ARC will not duplicate financial assistance for research already funded by the Commonwealth or which is likely to be funded from other Commonwealth funding sources (including under other ARC funding schemes). The ARC reserves the right to determine if a Proposal duplicates or is likely to duplicate research being funded by another Commonwealth source.
- 9.2.2 The Administering Organisation must certify that the Proposal does not duplicate work already funded by a Commonwealth source. If such a certification is not provided, the ARC may in its absolute discretion decide to not recommend the project for approval.
- 9.2.3 If the ARC determines, at its absolute discretion, that funding provided under other ARC funding schemes duplicates, or is likely to duplicate, funding assistance for research to be undertaken, the Administering Organisation may be required to relinquish any ARC funding that would result in duplication.
- 9.2.4 Subject to Section 9.2.1-9.2.3, the CIs named on a successful *Special Research Initiative* Proposal may retain their current grants funded through other ARC schemes provided that:
- a. the Proposal clearly demonstrates and explains, to the satisfaction of the ARC, the overlap between the proposed research program and the research program(s) of the existing non-SRI funding; and
  - b. funding for the overlapping aspect of the research program is not requested in the Proposal budget for the duration of the existing non-SRI funding.
- 9.2.5 The ARC may liaise with other funding agencies to discuss any overlap between proposed or existing research projects (including fellowships) in order to avoid duplication of funding. The ARC may, for this purpose, disclose to such an agency any information in a Proposal.

## **9.3 Funding of Medical and Dental Research**

- 9.3.1 Unless specified to the contrary against the relevant initiative in column 1 of the table in Appendix 2, the ARC does not fund near-term clinical medical (including dental) outcomes as described on the ARC's website.
- 9.3.2 The Administering Organisation must certify that the Proposal does not constitute medical and dental research as defined on the ARC website.
- 9.3.3 In all cases whether or not the above process is observed, the ARC may in its absolute discretion decide whether a proposed project, or elements of a project, falls within the area of Medical and Dental Research.

## **10. Application process**

### **10.1 Proposals**

- 10.1.1 A Proposal should be submitted as a mature research plan ready for implementation. The Proposal must contain all the information necessary for its assessment without the need for further written or oral explanation, or reference to additional documentation, unless requested by the ARC, including its College of Experts.
- 10.1.2 All details in the Proposal must be current at the time of submission.
- 10.1.3 In submitting a Proposal, the Administering Organisation and the CIs and PIs nominated in the Proposal are consenting to the Proposal's being assessed under the ARC's peer assessment procedures and agree to the release of the Proposal to third parties for assessment purposes.

### **10.2 Certification**

- 10.2.1 The Administering Organisation must obtain the agreement of all parties necessary to allow the proposed project to proceed. These agreements must be attested to by certification from all relevant persons and organisations involved in the Proposal. These agreements, certifications and signatures are to be retained by the Administering Organisation which must provide them if requested by the ARC. A form is available for this purpose on the ARC Web Site. If the Administering Organisation fails to provide this material upon request, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 10.2.2 The Administering Organisation must certify Proposals using the Proposal's certification form. The certification includes, but is not limited to, statements that:
- a. the Proposal does not duplicate, or is likely to duplicate, the work already funded by a Commonwealth source, (subsection 9.2);
  - b. the Proposal does not constitute Medical and Dental Research as defined on the ARC website (subsection 9.3); and
  - c. the Administering Organisation has the written agreement of all parties necessary to allow the proposed project to proceed (written agreement can be in the form of named and dated letter, fax or email as deemed appropriate by the Administering Organisation).
- 10.2.3 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals
- 10.2.4 A Proposal must be submitted through the appropriate Research Office. If a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification, the Proposal will not be recommended or approved for funding.

### **10.3 Format and Submission of Proposals**

- 10.3.1 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, or another form of electronic document, 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 the on-line grants application management system, or electronically, the full paper application and copy must, as far as possible, identically match the contents of the online application form.
- 10.3.2 All documents must be written in English and must comply strictly with the format, content and submission requirements as specified in these Funding Rules and the call for proposals for the relevant initiative and, where available, the 'Instructions to Applicants' document issued by the ARC for the relevant initiative. If a Proposal fails to meet any format, content or submission requirements, the ARC may in its absolute discretion decide to not recommend the Proposal for approval.
- 10.3.3 Unless otherwise specified, all pages of text must 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 all margins being at least 2 cm. As Proposals may be scanned electronically, a highly legible font type must be used, such as Arial, Courier, Palatino, Times New Roman and 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 will be reproduced in black and white and the reproduction quality may not be optimal. Finely detailed graphics and greyscale may also not be precisely reproduced.
- 10.3.4 The pages of the Proposal must be numbered consecutively starting from page 1.

### **10.4 Number of copies**

- 10.4.1 Unless otherwise specified in column 7 of Appendix 2 for the relevant initiative, an original paper application and one identical paper copy are required in addition to any requirement for an online or electronic application form. The application must be clipped, not stapled. Where applicable, the application form completed in the online grants application management system or electronic form 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 the 'Instructions to Applicants' document for the relevant initiative).

### **10.5 Closing times for Proposals**

- 10.5.1 At the time of inviting applications the ARC will set and advise prospective applicants about the relevant timeframes for the submission of applications. For specific initiatives these details are shown in column 6 of the table in Appendix 2 against the relevant initiative. Subject to subsection 10.5.4, the paper parts of a Proposal must be received by the ARC, and the online or electronic form, if any,

must be submitted to the ARC by the relevant times for the initiative specified in Appendix 2.

- 10.5.2 Submission must be made to the postal or courier addresses and email address listed under 'Contacts' on page 5 of these Funding Rules
- 10.5.3 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.
- 10.5.4 If the required paper parts of a Proposal are not received by the ARC by the specified closing time, the ARC may in its absolute discretion decide to not recommend the Proposal for approval. In deciding whether to recommend or not recommend such a Proposal the ARC may take into account whether:
  - a. in the opinion of the ARC, exceptional circumstances apply; or
  - b. the Administering Organisation is able to provide evidence to the satisfaction of the ARC that all the documents were despatched by the Administering Organisation sufficiently in advance of the closing time for the documents to have been delivered to the ARC by the closing time in the normal course of events.

## **11. Selection and approval process**

### **11.1 Selection criteria**

- 11.1.1 All *Special Research Initiatives* Proposals which meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:
  - a. Research Program
    - i. the nature and merit of the Proposal in relation to the objectives of the Initiative as specified in Section 1.2 of this Call and column 4 of the table in Appendix 2 of the SRI Funding Rules, taking into consideration:
      - i. the goals of the Proposal;
      - ii. the method and approach to be adopted;
      - iii. expected results; and
      - iv. value for money and budget justification.
  - b. Investigators
    - i. parties who are to be involved in and associated with the Proposal, including:
      - i. research opportunity and performance evidence; and
      - ii. commitment and capacity to undertake the research program.
  - c. Partnerships

- i. level of support and commitment, both in cash and in-kind contributions, from non ARC sources including the proposed Administering Organisation, Collaborating Organisations and Partner Organisations, and
  - ii. level of collaboration, including development of national and international networks and linkages.
- d. Outcomes
  - i. relevance of the Proposal to issues of national significance and importance and potential of the research project to result in benefits for Australia from the expected results and outcomes.

## **11.2 Assessment and selection procedure**

### **11.2.1 Assessment and selection process**

- 11.2.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations solely on the basis of its expertise, and which may:
- a. consider if a Proposal satisfies the eligibility criteria set out in these Funding Rules;
  - b. identify and consider any other matters that these Funding Rules state may result in the ARC's recommending that a Proposal not be approved for funding;
  - c. assign assessors to review Proposals;
  - d. seek comments on assessors' reports from the parties involved in the Proposal;
  - e. short-list Proposals and interview representatives of the Applicants for those short-listed Proposals;
  - f. rank each Proposal relative to the others on the basis of the Proposal, any assessors' reports, and any response to those assessment reports;
  - g. assess and recommend the amount of funding to be made available for a Proposal; and/or
  - h. prepare funding recommendations.
- 11.2.1.2 The ARC College of Experts may assist with the assessment of Proposals. The ARC has procedures for managing organisational and personal conflicts of interest experienced by members of the College of Experts, members of other ARC committees, ARC staff, and other assessors, and for enabling individuals to withdraw from the assessment process for particular Proposals where any actual or perceived conflict may exist.

### **11.2.2 Exclusion of Proposals**

- 11.2.2.1 The ARC will not recommend for approval and the Minister will not approve for funding, any Proposal that fails to satisfy the eligibility criteria set out in these Funding Rules, including:

- a. if the ARC considers that the Proposal seeks funding for any of the items not permitted under Sections 6.4 or 6.5 and the ARC considers no other part of the proposed project remains worthy of support (subsection 6.5.2);
- b. if the Proposal seeks salary funding for a CI or PI, other than where it is permitted for the relevant initiative pursuant to column 3 of Appendix 2 (subsection 6.4.2.b);
- c. if the Proposal was not submitted by an Eligible Organisation (Section 7.1);
- d. if the Proposal does not meet the requirements for involvement by or contributions from Partner Organisations or if the ARC considers that a Partner Organisation listed on the Proposal does not meet the eligibility requirements for a Partner Organisation (Section 7.2 and Appendix 2);
- e. if the Proposal did not nominate at least one CI where required (subsection 8.1.2);
- f. if the ARC considers that a person nominated in the Proposal as CI or PI does not meet the eligibility criteria as specified in Section 8 or Appendix 3 for the role which that person is to perform (subsection 8.1.9);
- g. where relevant for the particular initiative, if the ARC determines that a proposed project would fall within the area of Medical and Dental Research (Section 9.3);
- h. if a Proposal has not been submitted through the appropriate Research Office/Chief Executive Officer for certification (subsection 10.2.2); and
- i. if the Proposal is not for a program of research, or a program that supports the conduct of a program of research.

11.2.2.2 The ARC may in its absolute discretion decide not to recommend for approval a Proposal if:

- a. in the opinion of the ARC, any person nominated in the 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, or all obligations regarding previously funded projects involving the candidate have not been fulfilled to the satisfaction of the ARC (subsection 8.1.8);
- b. in the opinion of the ARC, any party involved in or associated with a Proposal or ARC-funded research project has failed to disclose to the ARC, or any of the other parties involved in the Proposal, any conflict of interest which has the potential to influence, or appear to influence, the research and activities, publications and media reports, or requests for funding related to the Proposal (subsection 4.3.3);
- c. if the Proposal has sought funding which is less than the minimum amount or more than the maximum amount of funding allowed (subsection 6.1.2);
- d. if the Proposal includes in the budget section, salary for Commonwealth funded Fellow as an in-kind contribution from an organisation (subsection 6.4.5);
- e. the limits on the number of Proposals and projects permissible are exceeded (subsection 6.6.1);

- f. in the opinion of the ARC, a Proposal duplicates or is likely to duplicate research already being funded, or which is likely to be funded, by the Commonwealth (subsection 4.3.2 and section 9.2);
- g. where required the Proposal does not include details of other funding or funding requests (subsection 9.1.2);
- h. the ARC considers incomplete, inaccurate, false, or misleading material has been provided in relation to the Proposal or if the Administering Organisation and/or persons nominated in the Proposal as a CI or PI have provided the ARC with incomplete, unsatisfactory, inaccurate, or misleading information in relation to the provision of advice relating to, or in the reporting of progress of, a funded project (subsections 9.1.2, 14.5.2 and 14.5.3);
- i. when requested, the Administering Organisation fails to provide the signed certifications and agreements of all parties necessary to allow the proposed project to proceed (subsection 10..2);
- j. the online part of a Proposal is not submitted, or the paper part of the Proposal is not received by the ARC, by the closing time for the relevant round (subsection 10.5.1); or
- k. the Proposal fails to meet any format and other submission requirements (Section 10.3).

### **11.2.3 Assessment**

- 11.2.3.1 In addition to assessment by the ARC, a Proposal may at the ARC's absolute discretion be assessed by external assessors. Assessors may be drawn from a range of organisations to reduce the potential for conflicts of interest. Proposals will be assessed against the criteria set out in these Funding Rules and the reports by the assessors may include written comment.
- 11.2.3.2 The ARC reserves the right to make recommendations for funding to the Minister based on any number of assessments or solely on the assessment of the ARC.
- 11.2.3.3 Administering Organisations may provide written notification to the ARC naming any person or persons whom they do not wish to assess a Proposal. A 'Request not to Assess' form is available from the ARC Web Site for this purpose. Such notifications must contain detailed justification and be submitted using the 'Request not to Assess' form through the Administering Organisation's Research Office. This notification must not accompany the Proposal. The notification must be received by the ARC by the specified closing time for Proposals for the relevant initiative and be sent to the addresses listed under 'Contacts' on page 5 of these Funding Rules
- 11.2.3.4 The ARC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

### **11.2.4 Rejoinder**

- 11.2.4.1 Assessors' written comments, if obtained, may be provided to allow the opportunity for a rejoinder to the comments. Names of assessors are not provided.

At the same time, the ARC may add questions to the material sent for rejoinder. A period of up to 2 weeks may be given to submit a rejoinder to the ARC. Subject to subsection 11.2.4.2, rejoinders will not be accepted after the nominated closing time for rejoinder submissions. The ARC may limit the length of rejoinders which can be submitted.

- 11.2.4.2 The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late rejoinders.

### **11.2.5 Recommendations**

11.2.5.1 The ARC's recommendations will be submitted in accordance with the ARC Act to the Minister for consideration. The Minister determines which Proposals will be approved and the amount and timing of financial assistance to be paid to Administering Organisations for approved Proposals.

11.2.5.2 Under the ARC Act, the Minister must not approve for funding any Proposal that fails to meet the eligibility criteria set out in these Funding Rules.

### **11.3 Offer of funding**

11.3.1 Administering Organisations whose Proposals are approved will be:

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

## **12. Appeals process**

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

12.1.2 Appeals must be made on the appeals form available from the ARC Web Site. The form must be lodged by the Administering Organisation and must be authorised by a Deputy Vice Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received by the ARC within 28 days of the date on the letter notifying the outcome of Proposals.

12.1.3 Appeals must be addressed to The Appeals Officer and sent to the postal or courier addresses listed under 'Contacts' on page 5 of these Funding Rules.

## **13. Administration of funding**

### **13.1 Funding Agreement**

13.1.1 All parties involved in a Proposal should familiarise themselves with the standard Funding Agreement, but only the Administering Organisation and the ARC will be parties to the Funding Agreement. Parties involved in a funded project must accept the terms of the Funding Agreement and the Administering Organisation must sign the Funding Agreement before the ARC will commence payments.

- 13.1.2 Projects must commence as required by the Funding Agreement. Failure to do so may result in termination of the Funding Agreement.
- 13.1.3 Administering Organisations should note that the Funding Agreement covers post-award management, including reporting requirements and financial management. The standard Funding Agreement can be viewed on the ARC Web Site.

### **13.2 Varying the Funding Agreement**

- 13.2.1 Requests to vary the Funding Agreement must be forwarded in writing by the Administering Organisation's Research Office to the ARC. Forms are available on the ARC Web Site. Amendment of any clauses of the Funding Agreement will be at the ARC's absolute discretion.

### **13.3 Varying the Funding Approval**

- 13.3.1 Requests to vary the funding approval must be forwarded in writing by the Administering Organisation's Research Office to the ARC.
- 13.3.2 The funding approval may be varied by varying the amount of financial assistance, the period of financial assistance, the name of the person leading the research project, and/or the name of the organisation receiving financial assistance.
- 13.3.3 The Minister may vary the funding approval if:
- a. any of the organisations involved in the project end, or substantially change, their involvement with the project;
  - b. the research project changes so that it is no longer consistent with the description in the funding approval as previously approved or as otherwise varied;
  - c. the desirable period of funding for a project is not consistent with the period in the funding approval as previously approved or as otherwise varied;
  - d. the person nominated in the funding approval as the person leading the research project, or any such replacement person approved by the Minister, ceases to lead the project; and/or
  - e. the ARC considers and recommends that 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 *Special Research Initiatives* objective.

### **13.4 Reports**

- 13.4.1 Administering Organisations are required to submit reports to the ARC concerning funded projects, in the format and by the due dates detailed in the Funding Agreement.

## **14. Other matters**

## **14.1 Applicable law**

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

## **14.2 Confidentiality**

14.2.1 The ARC will treat information contained in a Proposal as confidential. However, the ARC may disclose information contained in a Proposal, or otherwise provided to the ARC, to the extent that the information:

- a. is disclosed by the ARC to its advisers (including external assessors), officers, employees or other third parties in order to assess, evaluate or verify the accuracy or completeness of a Proposal;
- b. is disclosed to the ARC's personnel to enable effective management or auditing of the *Special Research Initiatives* scheme or any Funding Agreement;
- c. is disclosed by the ARC to the Minister;
- d. is shared by the ARC within the ARC's organisation, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
- e. is authorised or required by law to be disclosed;
- f. is disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
- g. is in the public domain otherwise than due to a breach by the ARC of any obligation of confidence.

14.2.2 Where information contained in a Proposal is made available to third parties for evaluation or assessment purposes the ARC will require the third parties to maintain the confidentiality of the material. Notwithstanding the above, and in addition to the exemptions listed at subsection 14.2.1, the ARC may publicise and report offers or awards of funding, including information about the proposed research; the name of nominated CIs or PIs and their organisations; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its intended outcomes (including the national/community benefits that are expected to arise from the research); and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the project title and summaries would not, if released, compromise their own requirements for confidentiality (such as future protection of intellectual property).

## **14.3 Project descriptions**

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

## **14.4 Intellectual property**

- 14.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or which is created or developed from the conduct of a project funded under the *Special Research Initiatives* scheme.
- 14.4.2 However, all Proposals become the property of the ARC on submission. Administering Organisations submit their Proposals on the basis that the ARC may copy, modify and otherwise deal with information contained in a Proposal (and allow any external assessor or other third party to do the same) for any purpose related to:
- a. the evaluation and assessment of Proposals;
  - b. verifying the accuracy, consistency and adequacy of information contained in a Proposal, or otherwise provided to the ARC;
  - c. the preparation and management of any Funding Agreement; or
  - d. the administration or management of the NCGP.
- 14.4.3 If a Proposal contains information belonging to a third party, the Administering Organisation must ensure that it has in place all necessary consents to allow the ARC to deal with that information in accordance with these Funding Rules, prior to the Administering Organisation's submitting its Proposal.
- 14.4.4 Except with written approval from the ARC, all Proposals and ARC-funded research projects must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* (available on the ARC Web Site) and accord with any intellectual property policies of the person's organisation.

## **14.5 Incomplete or misleading information**

- 14.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.
- 14.5.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- 14.5.3 If an Administering Organisation and/or person nominated in a Proposal as a CI or PI has provided the ARC with incomplete, unsatisfactory, inaccurate or misleading information in relation to any Proposal for, or in the provision of advice relating to, or reporting of progress of, a project funded by the Commonwealth, the ARC may in its absolute discretion decide to not recommend the Proposal for approval and/or terminate projects involving that organisation/person if funded and require the Administering Organisation to repay some or all of the funding.
- 14.5.4 If the ARC considers that omissions, or inclusion of misleading information, are intentional, or if there is evidence of misconduct, the ARC may refer the matter for investigation with a view to prosecution under Commonwealth criminal law. The Commonwealth 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.

14.5.5 Examples of misleading information and misconduct are, but are not restricted to:

- a. providing fictitious track records;
- b. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted); or
- c. failing to disclose to the ARC the existence, and nature, of actual or potential conflicts of interest of any of the parties involved in the Proposal/project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the project).

## **14.6 Insurance and liabilities**

14.6.1 Administering Organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement. The standard Funding Agreement can be viewed on the ARC Web Site.

## **Appendix 1: Eligible Organisations**

### **1.1 Higher Education Organisations eligible to submit Proposals**

#### **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**

Flinders University

The University of Adelaide  
University of South Australia

**Tasmania**

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

**1.2 Other Organisations eligible to submit Proposals**

Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS)

## Appendix 2: Particular SRI initiatives undertaken under these Funding Rules

Initiative being funded (column 1)	Eligible Organisations (column 2)	Applicable Investigator types (column 3)	Specific objectives (column 4)	Funding (column 5)	Closing date (column 6)	Application form requirements and signed copies (column 7)	Other requirements for submission of applications (column 8)
<p>Title: Special Research Initiative in Stem Cell Science</p> <p>The successful project will:</p> <p>a. undertake highly innovative and internationally competitive research that produces outcomes of economic and social benefit to Australia;</p> <p>b. be characterised by significant collaboration involving the research resources of Australian and overseas institutions; and</p> <p>c. pursue engagement with, and seek to secure financial contributions from government and business entities, publicly funded research institutes and other appropriate organisations.</p> <p>The Proposal may offer an integrated research program which draws on the expertise of researchers at a number of geographically separated research sites or nodes. The successful Project must have a prominent physical presence at all nodes.</p>	<p>Organisations listed in Appendix 1 of the Special Research Initiatives Funding Rules for funding commencing in 2011</p>	<ul style="list-style-type: none"> <li>Chief Investigator (CI)</li> <li>Partner Investigator (PI)</li> <li>Each proposal must have at least one CI.</li> <li>The first-named CI on the Proposal will be considered the 'Program Leader' and must be an employee, or holder of an adjunct appointment, or equivalent, at the proponent Eligible Organisation.</li> </ul>	<p>A Special Research Initiative in Stem Cell Sciences to:</p> <ul style="list-style-type: none"> <li>Undertake highly innovative and internationally competitive research with a strategic focus on fundamental stem cell science;</li> <li>Participate in significant interdisciplinary collaboration including development of national and international networks and linkages with leading researchers and institutions;</li> <li>Build Australia's human capacity in this area by attracting researchers of high international standing as well as the most promising research students;</li> <li>Strengthen capability by providing high-quality postgraduate and postdoctoral training environments for the next generation of researchers;</li> <li>Engage with stakeholders to identify and explore opportunities for translation and development of stem cell research and deliver benefits to Australia; and</li> <li>Facilitate the transfer of knowledge through public education of stem cell technologies and research outcomes and provide support for policy development.</li> </ul>	<ul style="list-style-type: none"> <li>Total funds of up to \$3M per annum may be awarded over seven years, commencing in July 2011, subject to Parliamentary appropriations. Minimum funding will be \$1M per annum.</li> <li>Subject to exceptional performance measured through reporting and review and availability of funding, the ARC may recommend an additional period of funding.</li> <li>The Proposal is expected to seek additional financial contributions from other sources, such as participating organisations, publicly funded research institutes, government agencies and the private sector.</li> </ul>	<p>30 July 2010</p>	<ul style="list-style-type: none"> <li>Submission of an electronic copy of SRI application form to be sent by email to sri@arc.gov.au, marked "Attention Executive Director, ARC SRI Scheme (Stem Cell Science)".</li> <li>In addition to the above, a full paper application and one identical copy, which must, as far as possible, match the contents of the submitted electronic application form, must be submitted to the address specified in section 10.3.4.2 of the Special Research Initiatives Funding Rules for funding commencing in 2011.</li> <li>The paper copies above must be signed by the DVC(R) of the Eligible Organisation proposing to administer the Project, or equivalent officer, who has the power to make and vary contracts on behalf of the Eligible Organisation.</li> </ul>	<ul style="list-style-type: none"> <li>The Eligible Organisation submitting the application is to obtain and retain signatures of all participants named on the application form indicating their agreement to participate in the Proposal and providing all necessary consents to allow the ARC to deal with information contained in the application form.</li> <li>Each Eligible Organisation may be the Administering Organisation on one application only.</li> <li>Each Proposal must identify at least one Partner Organisation which will be involved in the proposed project.</li> </ul>

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

### **A3.1 Available roles**

A3.1.1 There are two roles available for researchers under the *Special Research Initiatives* scheme. These are:

- a. Chief Investigator; or
- b. Partner Investigator.

### **A3.2 Eligibility criteria for Chief Investigators**

A3.2.1 To be eligible to be a CI, a researcher must meet the criteria stipulated in A3.2 and subsections 8.1.6 and 8.1.7.

A3.2.2 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria as at the commencement date for funding of the proposal, and for the full term of her/his participation in the project:

- a. be an employee of an Eligible Organisation for the relevant initiative (as specified in column 2 of the table in Appendix 2) for at least 50 per cent of her/his time; or
- b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation for the relevant initiative (as specified in column 2 of the table in Appendix 2) and not be employed more than 50 per cent of her/his time in a position at another organisation that
  - i. is outside the higher education sector, and
  - ii. engages in research which is funded predominantly from State/Territory or Commonwealth Government funding sources. Such organisations include, but are not limited to, Commonwealth-funded Research Centres which are outside the higher education sector, AIMS, ANSTO, CSIRO, DSTO, GA, and State/Territory Research and Development organisations and research areas within a Government entity; or
- c. be a Federation Fellow; or
- d. be an Australian Laureate Fellow at an Eligible Organisation for the relevant initiative (as specified in column 2 of the table in Appendix 2).

A3.2.3 He/she must reside predominantly in Australia for the full term of her/his participation in the project. If the researcher does not have permanent resident status he/she must obtain temporary or permanent resident status from the Department of Immigration and Citizenship before he/she may commence on the project.

A3.2.4 Notwithstanding a researcher's eligibility under the other criteria in A3.2, a researcher in the following categories cannot be eligible to be CIs if:

- a. undertaking undergraduate studies; or
- b. undertaking postgraduate studies unless eligible to be a CI under A3.2.2..

- A3.2.5 If a Proposal has been approved for funding and any or all of the CIs are at any time during the project no longer able to work as proposed on the project, the project may be continued under replacement CIs provided that:
- a. approval is obtained from the Minister for the change in CI; and
  - b. a replacement CI meets the criteria stipulated in A3.2 and subsections 8.1.7 and 8.1.8 when he/she is nominated as a replacement and for the full term of her/his participation in the project.

### **A3.3 Eligibility criteria for Partner Investigators**

- A3.3.1 To be eligible to be nominated as a PI on a Proposal, a researcher must:
- a. not meet the eligibility criteria specified in A3.2.2 for a CI;
  - b. secure a significant contribution of cash, in-kind or other resources from the researcher's organisation for the proposed project (having regard to the total cost of the project and the relative contribution of other investigators); and
  - c. take significant intellectual responsibility as outlined in subsection 8.1.7.
- A3.3.2 If a Proposal has been approved for funding and any or all PIs are at any time during the project no longer able to work as proposed on the project, the project may be continued under replacement PIs provided that:
- a. approval is obtained from the Minister for the change in PI; and
  - b. the replacement PI:
    - i. meets the eligibility criteria specified in A3.3 at the time of her/his nomination and for the full term of her/his participation in the project; and
    - ii. does not meet the eligibility criteria specified in A3.2.5 for a replacement CI.