



Australian Government
Australian Research Council



Australian Government
National Health and Medical Research Council

ARC/NHMRC Thinking Systems

Call for Proposals
under
ARC Special Research Initiatives
for Funding commencing in 2006

Australian Research Council
National Health and Medical Research Council
Thinking Systems Call for Proposals
Special Research Initiatives for Funding commencing in 2006

Table of Contents

Acronyms.....	- 3 -
Key Dates.....	- 4 -
Contacts.....	- 4 -
1 Introduction.....	- 5 -
1.2 Background.....	- 5 -
1.3 Objectives of the funding initiative.....	- 5 -
2 Funding, Eligibility and Application Process.....	- 6 -
2.2 Level of funding.....	- 6 -
2.3 Duration of funding.....	- 6 -
2.4 Nature of research supported.....	- 7 -
2.5 Areas of investigation/work not supported.....	- 7 -
2.6 Budget items not supported.....	- 7 -
2.7 Number of proposals and applications.....	- 8 -
3 Organisational types, roles and eligibility.....	- 9 -
3.1 Eligible organisations.....	- 9 -
3.2 Investigator types, roles and eligibility.....	- 9 -
3.3 Researchers from Commonwealth-funded research Centres.....	- 9 -
3.4 Duplication.....	- 9 -
3.5 Substantial association.....	- 10 -
4 Application Process.....	- 10 -
4.2 Applications.....	- 10 -
4.3 Certification.....	- 11 -
4.4 Submission of applications.....	- 11 -
4.5 Application format.....	- 11 -
4.6 How to complete and submit applications.....	- 12 -
4.7 Closing date and time for applications.....	- 12 -
5 Selection and Approval Process and Notification of Outcomes.....	- 12 -
5.2 Selection criteria.....	- 12 -
5.3 Assessment and selection procedure.....	- 13 -
5.4 Exclusion.....	- 14 -
5.5 Assignment of assessors.....	- 14 -
5.6 Rejoinder.....	- 14 -
5.7 Interviews.....	- 14 -
5.8 Recommendations.....	- 14 -
5.9 Offer of funding.....	- 14 -
6 Appeals Process.....	- 15 -
7 Administration of Funding and Reports.....	- 15 -
8 Other Matters.....	- 15 -
8.1 Applicable law.....	- 15 -
8.2 Confidentiality.....	- 15 -
8.3 Project description.....	- 15 -
8.4 Intellectual property.....	- 15 -
8.5 Incomplete or misleading information.....	- 15 -
8.6 Insurance and liabilities.....	- 16 -
Appendix 1: Eligible Organisations.....	- 17 -

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
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 for the Australian Research Council/National Health and Medical Research Council *Thinking Systems* initiative include:

Closing time/date for Applications – 17:00 AEDT Wednesday 14 December 2005

Deadline for requests relating to assessor exclusion – 17:00 AEDT Wednesday 14 December 2005

Interview time(s) for short-listed applicants – approx. March 2006 (to be confirmed)

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 *Thinking Systems* initiative may be addressed to:

Thinking Systems Coordinator
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

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

Australian Research Council
and
National Health and Medical Research Council

Thinking Systems Call for Proposals

Special Research Initiatives for Funding commencing in 2006

1 Introduction

- 1.1.1 This document (the Call) invites proposals from eligible organisations (see Section 3.1 and Appendix 1) for funding support related to thinking systems. All proposals must comply with the *Special Research Initiatives Funding Rules for Funding commencing in 2006 (2006 SRI Rules)*, available at <http://www.arc.gov.au>, as well as with the requirements described in the Call.
- 1.1.2 Applicants should familiarise themselves with the *2006 SRI Rules* and the terms of this document.

1.2 Background

- 1.2.1 The Australian Research Council (ARC) and the National Health and Medical Research Council (NHMRC) are collaborating to progress the Australian Government's National Research Priorities, particularly relating to the goals for *Ageing Well*, *Ageing Productively* under the National Research Priority *Promoting and Maintaining Good Health*; and *Breakthrough Science* and *Frontier Technologies* under the National Research Priority *Frontier Technologies for Building and Transforming Australian Industries*. Full descriptions of the National Research Priority Areas and their associated Priority Goals can be found in Appendix 1 of the *2006 SRI Rules*, and on the ARC web site (<http://www.arc.gov.au>).
- 1.2.2 The ARC and NHMRC have identified initiatives appropriate for joint ARC and NHMRC funding, including the *Thinking Systems* initiative. *Thinking Systems*, formally conducted under the ARC's *Special Research Initiatives (SRI)* scheme, will support research into thinking systems which crosses sectors, institutions and research disciplines to open up new frontiers.

1.3 Objectives of the funding initiative

- 1.3.1 As an initiative formally conducted under the *SRI* scheme, the *Thinking Systems* initiative will support high-quality research which will assist in advancing Australia's research excellence to be globally competitive and deliver benefits to the community.

- 1.3.2 In addition, the *Thinking Systems* initiative aims to 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. This research will increase understanding of how information is transmitted, received, processed and understood in cognitive systems, including artificial systems. It will also increase understanding of biological hardware, programming and the operation of thinking systems.
- 1.3.3 It is intended that this cross-disciplinary, collaborative and ideally cross-organisational initiative will lead to the generation and application of new knowledge in the development of intelligent machines, robots and information systems and will place Australia at the forefront of this area internationally. Applicants with novel ideas and concepts are encouraged to apply.
- 1.3.4 The *Thinking Systems* initiative encourages proposals which can demonstrate that they can enhance collaboration among organisations, leading directly to better use or sharing of infrastructure, data sets or other similar resources. Collaboration with Australian industries, or international groups of researchers, is encouraged, but is not mandatory. Where there are industry participants, they are required to provide resources to the proposal.
- 1.3.5 The ARC may recommend partial funding of proposals. Funding must be used only for purposes that are consistent with the *2006 SRI Rules*, the Call, and the Funding Agreement.
- 1.3.6 The ARC reserves the right not to make funding recommendations to the Minister if it judges that proposals are not of sufficient quality and/or do not meet the selection criteria.

2 Funding, Eligibility and Application Process

- 2.1.1 Applications will be received and considered by the ARC, in consultation with the NHMRC, under the ARC's *2006 SRI Rules*. The key details and criteria relating to the specific *Thinking Systems* initiative are summarised at Appendix 2 of the *2006 SRI Rules*.

2.2 Level of funding

- 2.2.1 Funding for *Thinking Systems* projects is expected to begin in 2006. The maximum amount of funding made available for any one project will be \$750,000 per annum averaged over the life of the project. The ARC reserves the right to recommend the level of funding allocated to a proposal.

2.3 Duration of funding

- 2.3.1 Funds for *Thinking Systems* projects may be awarded for 1 to 5 years, subject to Parliamentary appropriations. The ARC may recommend projects for durations different from those requested.

2.4 Nature of research supported

- 2.4.1 The *Thinking Systems* initiative supports excellent collaborative research among researchers in cross-disciplinary teams at some or all of the intersections of neuroscience, genetics, proteomics, cognitive science, artificial intelligence, computer science, and information technology, including:
- a. pure basic research which is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge;
 - b. strategic basic research which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. It provides the broad base of knowledge necessary to solve recognised practical problems; and
 - c. applied research which is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.

2.5 Areas of investigation/work not supported

- 2.5.1 The *Thinking Systems* initiative does not support the following work:
- a. activities leading solely to the creation or performance of a work of art, including visual art, musical compositions, drama, dance, design and literary works, for which Commonwealth Government support is provided through the Australia Council for the Arts;
 - b. production of teaching materials, even though some research may be involved in their production;
 - c. compilation of data, unless an integral part of a proposal, in which case applicants must provide a statement indicating the research objectives to which the data would contribute;
 - d. development of research aids and tools (including computer programs), unless they form an integral part of a proposal, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute.

2.6 Budget items not supported

- 2.6.1 The *Thinking Systems* initiative does not support the following budget items:
- a. **Salaries of Chief Investigators (CI) or Partner Investigators (PI).** The Commonwealth will not provide support, in whole or in part, to meet the salaries of Chief Investigators or Partner Investigators under the *Thinking Systems* initiative.
 - b. **Teaching.** Commonwealth funds may be used for teaching relief only if specifically approved for that purpose. The ARC may consider a request for teaching relief for a period of not more than 6 months a year, if such a request is fully justified in terms of achieving a successful outcome for the proposal. If approved, the funding contribution is limited to the maximum base rate of \$31,070 (2005\$) for 6 months, regardless of the level of appointment of the staff member, and is a special condition of the project.

- c. **Special Studies/Study Leave Programs.** Funds are not provided for travel or related expenses for researchers when on a Special Studies Program. In well justified cases some specified costs may be supported within a *Thinking Systems* proposal provided an investigator can show that such expenses are not covered by a Special Studies Program and that the research to be undertaken directly relates to the proposal. In these cases the use of funds needs to be approved as a special condition of the proposal.
- d. **Research support for Partner Investigators.** Funding will not be provided for research costs for Partner Investigators apart from short-term project support for investigators visiting from overseas.
- e. **International students' fees and Higher Education Contribution Scheme (HECS) liability.** Funds are not provided to pay the fees of international students or HECS liabilities for Australian students.
- f. **Computer facilities for molecular analysis.** Applicants for proposals involving molecular biology should be aware that the Australian National Genomic Information Service provides access to a range of databases and a large suite of analysis programs. As this service is available at modest cost, proposals seeking funding for computer facilities to undertake comparative molecular analysis will have to justify such needs very thoroughly.
- g. **Basic facilities.** The administering organisation must certify its agreement to provide the following basic facilities, which will not be funded under the *Thinking Systems* initiative:
 - i. accommodation (eg. laboratory and office, suitably equipped and furnished in standard ways);
 - ii. access to workshop services (eg machine tools and qualified technicians available to each member of staff, according to need, for research);
 - iii. access to film or music editing facilities;
 - iv. access to basic library collections;
 - v. standard reference materials or funds for abstracting services;
 - vi. adequate access to computers (excluding access to high-performance computers);
 - vii. basic computing, word processing and microfilm reading facilities;
 - viii. use of photocopiers, telephones, mail, fax, email and internet services.
- h. **Publication costs.** Publication costs, including page costs, are not funded under the *Thinking Systems* initiative.

2.7 Number of proposals and applications

2.7.1 Every *Thinking Systems* proposal must have at least one CI.

2.7.2 Subject to section 2.2 of the *2006 SRI Rules* and 3.4 of the Call, research funding received or sought elsewhere (outside the *Thinking Systems* initiative) has no impact on eligibility for funding within the *Thinking Systems* initiative. Nevertheless, the time commitment of the participants named in the *Thinking Systems* proposal will be considered during the assessment process.

- 2.7.3 Only one application to the *Thinking Systems* initiative may be submitted in respect of a single project in the same year, regardless of any variation in the applicants and/or proposed Administering Organisation.
- 2.7.4 Submitting similar or duplicate applications may result in automatic exclusion of all applications involving associated applicants. The ARC reserves the right to determine whether applications are duplicates or sufficiently similar to warrant exclusion.

3 Organisational types, roles and eligibility

3.1 Eligible organisations

- 3.1.1 To be eligible for consideration, each application in *Thinking Systems* must be submitted by an eligible organisation. Eligible organisations for the *Thinking Systems* initiative are specified in Appendix 1.
- 3.1.2 If a proposal is successful the proponent eligible organisation will become the administering organisation for the purposes of receiving and administering the funding.

3.2 Investigator types, roles and eligibility

- 3.2.1 The following roles are available under the *Thinking Systems* initiative:
- a. Chief Investigator (CI); or
 - b. Partner Investigator (PI).
- 3.2.2 The role and eligibility requirements for each of these are described in Appendix 4 of the *2006 SRI Rules*.
- 3.2.3 Each application must include at least one CI.
- 3.2.4 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 eligible organisation that submits the application.
- 3.2.5 Industry input or partners are not required for *Thinking Systems* proposals; however, a proposal will often be strengthened by containing industry input.

3.3 Researchers from Commonwealth-funded research Centres

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

3.4 Duplication

- 3.4.1 *Thinking Systems* will not fund research already funded by a Commonwealth-funded research Centre or which could reasonably be expected to be supported by the Centre given its research program and its level of funding. The proposed research must not duplicate work that is funded by or forms part of the proposed funded work of the Centre.

- 3.4.2 Each *Thinking Systems* proposal, on which there is an applicant who is associated, or substantially associated (see 3.5 below), with a Commonwealth-funded research Centre, must be accompanied by a letter signed by the Centre Director which describes the relationship between the proposed research and the research funded by the Centre, and specifically states that “the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by the Centre”. This letter should be no longer than one page. Failure to provide a letter in such circumstances may render the *Thinking Systems* proposal ineligible.
- 3.4.3 The Commonwealth reserves the right to make the final decision as to whether a proposal duplicates work funded, or which could reasonably be expected to be funded, as part of a Commonwealth-funded research Centre. Should the information contained in the *Thinking Systems* proposal, the accompanying letter from the Director and/or the Centre Annual Report be found inaccurate or misleading in a material way, any funding awarded may be terminated, and the Director may be asked to show cause why any ARC funding for the Centre should not be terminated.

3.5 Substantial association

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

4 Application Process

- 4.1.1 Thinking Systems proposals must satisfy all the requirements set out in the 2006 SRI Rules, the Call and as advised in the SRI Thinking Systems Instructions to Applicants for Funding commencing in 2006.

4.2 Applications

- 4.2.1 The application is the prime source of information available to the Selection Advisory Committee. Applicants must submit their proposal as a mature plan ready for implementation. The application must contain all the information necessary for assessment of the proposal without the need for further written or oral explanation, or reference to additional documentation or sources unless requested by the ARC or its Selection Advisory Committee. All details in the application, including employment details, must be current at the time of submission.

4.3 Certification

4.3.1 It is the legal responsibility of the eligible organisation that submits the proposal (administering organisation) to obtain signatures of all participants named on the application form. These signatures are to be retained by the administering organisation, which must provide these certifications if requested. A pro forma is available for this purpose on the ARC web site (<http://www.arc.gov.au>).

4.4 Submission of applications

4.4.1 Proposals must be submitted using the application form completed within the ARC's online application system accessible via the ARC web site (<http://www.arc.gov.au>).

4.4.2 Applicants should note that a separate document, *SRI Thinking Systems Instructions to Applicants for Funding commencing in 2006*, will be available from the ARC website (<http://www.arc.gov.au>) to assist in preparing applications.

4.4.3 *Thinking Systems* applications consist of two parts:

- a. Application form: to be completed within the ARC's online application system.
- b. Additional text:
 - i. Section B8, 'Research record relative to opportunities';
 - ii. Sections C2 and C3, 'justification of funding requested from the ARC' and 'details of non-ARC contributions';
 - iii. Part E, 'Project description'
 - iv. If applicable, supporting documentation:
 - Section B4.3, letter from Centre Director for any participants associated with a Commonwealth-funded research Centre
 - Section D2, 'statements on progress of ARC and/or NHMRC grants'
 - v. Signed certification page at Section A9.

4.5 Application format

4.5.1 All documents must be written in English and must comply strictly with the format and submission requirements outlined in the *2006 SRI Rules* and the Call.

4.5.2 All pages of additional text should be in black type, using a single column and 12-point font size on white A4 paper, be printed on one side only and unbound, with at least 2 cm margins on each side. As applications are scanned electronically, applicants must use a highly legible font type, such as Arial, Courier, Palatino, Times New Roman or Helvetica. Variants such as mathematical typesetting languages may also be used. References may be reproduced in 10-point font size. Colour graphs or colour photographs may be included but they will be reproduced in black and white and the reproduction quality may be degraded. Note: fine graphics and grey scale may also not be precisely reproduced.

4.5.3 Subject to this section, applications may be withdrawn but may not be changed after submission. Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

4.6 How to complete and submit applications

4.6.1 *Thinking Systems* application forms are produced within the ARC's online application system. Applicants should submit their applications through their organisation's Research Office or equivalent by their internal closing date.

4.6.2 Research Offices, or equivalent, should submit application forms within the ARC's online application system and forward to the ARC a full paper application and copy which must identically match the relevant contents of the online application form.

4.6.3 Applications must be submitted to the ARC both electronically within the ARC's online application system and two identical paper copies delivered to the ARC by the closing time.

4.6.4 Applications should be sent to the address as specified in the *2006 SRI Rules* section 8.3.2.

4.7 Closing date and time for applications

4.7.1 Two identical paper copies of the full application, incorporating the printed online form, additional text and signed certification, must be received by the ARC by **17:00 (AEDT) Wednesday 14 December 2005**.

4.7.2 Subject to section 8.5.1 of the *2006 SRI Rules*, applications received after 17:00 (AEDT) Wednesday 14 December 2005 will not be accepted.

4.7.3 Subject to this section, the electronic application form must also be completed and submitted within the ARC's online application system by 17:00 (AEDT) Wednesday 14 December 2005. The ARC may, in its absolute discretion, and only in exceptional circumstances, accept late applications.

5 Selection and Approval Process and Notification of Outcomes

5.1.1 Applications for funding will be assessed in accordance with the *2006 SRI Rules* and the requirements specified in the Call.

5.2 Selection criteria

5.2.1 *Thinking Systems* proposals will be assessed in accordance with the criteria stipulated in the *2006 SRI Rules* as follows:

- **Cross-disciplinary Approach and Method** (40%)

Assessment against this criterion will take into account the nature and merit of the proposal in relation to the objectives of the *SRI* scheme and *Thinking Systems* objectives, as indicated at Section 1.3 of the Call, taking into consideration:

- i. the goals of the proposal;

- ii. the method and approach proposed to be adopted;
 - is the proposal cross-disciplinary, collaborative and cross-organisational?
 - are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the proposal?
- 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;

• **Innovation** **(20%)**

Innovation is a key objective of the *Thinking Systems* initiative and assessment will take into account the extent to which the proposal supports novel and innovative research:

- i. are the proposed aims and concepts novel and innovative?
- ii. will new methods or technologies be developed?

• **Investigators** **(30%)**

Assessment against this criterion will take into account 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 research and activities:

- i. track record relative to opportunities;
- ii. capacity to undertake the proposed research, including in relation to commitments to other research programs, teaching, committee memberships and administrative duties;

• **National Significance and Importance** **(10%)**

Assessment against this criterion will take into account the relevance of the proposal to issues of national significance and importance:

- i. does the research address an important problem?
- ii. how will the anticipated outcomes advance the knowledge base of the discipline(s)?
- iii. what is the potential of the research proposal to result in economic and/or social benefits for Australia from the expected results and outcomes of the proposal?
- iv. is the research principally focussed upon progressing the Australian Government's goals for *Breakthrough Science* and *Frontier Technologies* under the National Research Priority *Frontier Technologies for Building and Transforming Australian Industries*?

5.3 Assessment and selection procedure

- 5.3.1 Initial assessment of proposals is undertaken by the ARC, in consultation with the NHMRC, in accordance with the *2006 SRI Rules* section 9.1.
- 5.3.2 The ARC may appoint a Selection Advisory Committee to assist it with the assessment of applications.

5.4 Exclusion

- 5.4.1 In accordance with Section 9.2 of the *2006 SRI Rules* the ARC may recommend exclusion of applications at any time during the selection process.

5.5 Assignment of assessors

- 5.5.1 Each *Thinking Systems* application not initially excluded will be assessed by external assessors.
- 5.5.2 Applicants may name any person whom they do not wish to assess the full application. Detailed written justification, which will be considered by the ARC, must be submitted through the administering organisation's Research Office, in a separate letter, and it must not accompany the application. The letter must be received by the closing time for applications, 17:00 AEDT **Wednesday 14 December 2005**, and be sent to:

Thinking Systems Initiative Coordinator
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

- 5.5.3 The ARC will consider the justification put forward by an applicant to exclude any person as an assessor. However, the ARC may choose not to give effect to an applicant's request.

5.6 Rejoinder

- 5.6.1 External assessors' textual comments will be provided to the administering organisation allowing the opportunity for a rejoinder to the comments.

5.7 Interviews

- 5.7.1 The ARC and the Selection Advisory Committee may short-list proposals and invite some applicants to attend interviews.

5.8 Recommendations

- 5.8.1 Following consultation with the NHMRC, the ARC's recommendations for funding will be submitted in accordance with the *Australian Research Council Act 2001* to the Minister for Education, Science and Training for consideration. The Minister will determine which proposals will be offered funding.

5.9 Offer of funding

- 5.9.1 Successful administering institutions will be:
- notified in a letter of offer that will indicate the funding offered; and
 - provided with the draft Funding Agreement.

6 Appeals Process

6.1.1 Refer to section 10 of the *2006 SRI Rules* for details of the appeals process.

7 Administration of Funding and Reports

7.1.1 Refer to section 11 of the *2006 SRI Rules* for details relating to the administration of funding and reporting requirements.

8 Other Matters

8.1 Applicable law

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

8.2 Confidentiality

8.2.1 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 or NHMRC to provide information to Parliament or other parties, applications will be received and treated as confidential. Where information contained in the application is made available to third parties for assessment purposes the ARC will require the third parties to maintain the confidentiality of the material.

8.2.2 Notwithstanding the above, the ARC or NHMRC 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/NHMRC.

8.3 Project description

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

8.4 Intellectual property

8.4.1 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.

8.5 Incomplete or misleading information

8.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.

- 8.5.2 If an application is incomplete, inaccurate or contains misleading information, it may be excluded from any further consideration for funding.
- 8.5.3 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.
- 8.5.4 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).

8.6 Insurance and liabilities

- 8.6.1 Administering organisations are subject to the liability, indemnity and insurance provisions of the Funding Agreement. The draft Funding Agreement can be viewed on the ARC website (<http://www.arc.gov.au>).

Appendix 1: Eligible Organisations

Higher Education Organisations	The Higher Education Organisations listed at Appendix 2 of the <i>Special Research Initiatives Funding Rules for Funding commencing in 2006</i>
Museums and Herbaria	Museums and herbaria which are Australian publicly funded organisations not primarily funded to carry out research, but with research-related purposes and objectives.
NHMRC Registered Organisations	The organisations that conduct health or medical research that, at the deadline for submission of applications, 17:00 AEDT 14 December 2005, are registered with the NHMRC for the purposes of directly applying for and subsequently administering NHMRC research grants and/or awards, but excluding those organisations outside the higher education sector that are funded from State/Territory or Commonwealth Government sources primarily for research purposes other than health or medical research. Such excluded organisations include, but are not limited to, DSTO, CSIRO, GA, ANSTO, AIMS, and those State/Territory Research and Development organisations not funded primarily for health or medical research.