



Australian Government

Australian Research Council

ARC/NHMRC THINKING SYSTEMS

Instructions to applicants

ARC Special Research Initiatives for funding
commencing in

2006

ARC/NHMRC

Thinking Systems

Instructions to applicants

ARC Special Research Initiatives (SRI) for funding commencing in 2006

This document is intended to be a practical guide to assist you as an applicant to complete the ARC *Thinking Systems* application form and associated documentation as fully and accurately as possible.

The information in this document is underpinned by the *ARC Special Research Initiative Funding Rules for Funding commencing in 2006 (2006 SRI Funding Rules)* and the *Thinking Systems Call for Proposals under ARC Special Research Initiative for Funding commencing in 2006 (Thinking Systems Call for Proposals)* which contain further details on ARC/NHMRC *Thinking Systems* funding. You must read the *2006 SRI Funding Rules* and the *Thinking Systems Call for Proposals* (available from the ARC website <http://www.arc.gov.au>) before preparing your application.

Matters to note before completing the application form

The application is the prime source of information available to the selection advisory committee. Applicants must submit their proposals as mature research plans 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, including the World Wide Web, unless requested by the selection advisory committee. All details in the proposal must be current at the time of application.

Authorship

Please note that while all participants on an application may view the form and any subsequent peer review assessments, only the originating author may complete the application form and the subsequent rejoinder. Section 5.3 of the *Thinking Systems Call for Proposals* provides more information on the assessment and selection process

Accuracy of information

Check carefully before you submit your proposal that all the information contained in the application form is accurate and complete.

Incomplete or misleading information

If your proposal is incomplete or contains information that is considered false or misleading, it may be ineligible and may constitute an offence under Commonwealth criminal law.

Confidentiality

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

Privacy

Information in the application form is collected in order to make recommendations to the Minister for Education, Science and Training on the allocation of financial assistance under the *Australian Research Council Act 2001* and for post award reporting. The information collected may be passed to assessors for the purposes of peer review assessment of the application. It may also be passed to the National Health and Medical Research Council, the National Occupational Health and Safety Commission, the Department of Foreign Affairs and Trade, the Department of Industry, Tourism and Resources, the Department of the Environment and Heritage, the Department of Education, Science and Training, the Department of Agriculture, Fisheries and Forestry and the Department of Veterans' Affairs for the purpose of checking eligibility. In other instances, information on this form can be disclosed without your consent where authorised or required by law.

The ARC is bound by the provisions of the *Privacy Act 1988*. Section 14 of the *Privacy Act 1988* contains the Information Privacy Principles (IPPs) which prescribe the rules for handling personal information. In brief, the ARC should ensure that:

- personal information is collected in accordance with IPPs 1-3;
- suitable storage arrangements, including appropriate filing procedures are in place;
- suitable security arrangements exist for all records containing personal information;
- access to a person's own personal information held by the organisation is made available to the person at no charge;
- records are accurate, up-to-date, complete and not misleading;
- where a record is found to be inaccurate, the correction is made;
- where the person contends that a record is inaccurate, and it is found to be accurate, the details of the request for amendment are noted on the record;
- the personal information is only to be used for the purposes for which it was collected, or for other purposes where expressly allowed by IPP 10;
- personal information is only disclosed in accordance with IPP 11.

The application process – items to note:

- Eligibility exemption requests must be submitted to the ARC via your research office, or equivalent unit, by the due dates outlined in the "Key Dates" section at the beginning of the *Thinking Systems Call for Proposals*.
- *Thinking Systems* applications must be produced using the ARC's online Grant Application Management System (GAMS) accessed via the ARC website at <http://www.arc.gov.au>.
- The application form should be saved and validated regularly and may be closed and updated as many times as required prior to submission.
- Once the application form has been completed, the research office or equivalent unit must validate the application, print the original (see printing instructions on page 6) and include additional sections as required.
- All applications must be signed by the appropriate organisational delegate at Section A9 of the application form.
- Forward the hardcopy original containing all relevant attachments and **one identical copy** of the application to the ARC by the **due date 17:00 AEDT, Wednesday 14 December 2005**.
- A checklist at the end of these instructions lists components to include in your application.

Key dates within the application cycle are listed in Table 1.

Table 1. THINKING SYSTEMS CYCLE

Month	Year	Event
Friday 23 September	2005	Applications open
Wednesday 14 December (17:00 AEDT)	2005	Closing date/time for applications NOTE: Each organisation may set its own internal closing date. Please consult with your administering organisation's research office, or equivalent.
February – (Mid)	2006	Assessments available via GAMS to enable applicants to prepare a written rejoinder.
February – (Late)	2006	Due date for applicants' one-page rejoinders.
March	2006	Selection Advisory Committee to interview short listed applicants and make recommendations for funding.
May/June	2006	Recommendations to the Minister for Education, Science and Training for approval of <i>Thinking Systems</i> projects and advice given to applicants.
28 days following date of advice to applicants	2006	Closing date for appeals.
July	2006	Funding for successful projects scheduled to begin.

Note carefully

- Submit your application through the Research Office, or equivalent of the administering organisation, by that organisation's closing date.
- If you are applying through an administering organisation that does not have a Research Office or equivalent, your organisation should identify a GAMS Contact who should contact the ARC by emailing GAMSIDS@arc.gov.au for assistance.
- Applications must be both electronically submitted in GAMS (to 'ARC Valid' status) and two identical full paper copies received by 17:00 AEDT at the ARC. Additions, deletions or modifications to applications will not be accepted after the date of submission.

Application format

Write in plain English and comply strictly with the format and submission requirements.

Submit all pages of additional text in black type, use a single column and 12 point font size on white A4 paper, printed on one side only and unbound with at least a 2 cm margin 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. Note: Fine graphics and grey scale may not be precisely reproduced due to low resolution scanning of PDFs.

The application form should be submitted with the additional text interleaved appropriately and the pages numbered consecutively starting at the beginning of the application (page numbering may be handwritten).

Number of copies

Forward to the ARC two identical hard copies of the entire application; one original and **one identical** copy. The application must not be stapled, it may be clipped with NAL or fold-back clips.

Application authorisation

All applications must be signed by the appropriate organisational delegate at Section A9 of the application form.

Closing date/time

The ARC closing date and time for *Thinking Systems* applications is **17:00 (AEDT) Wednesday 14 December 2005**. However, organisations may have an internal closing date several weeks before 14 December 2005 as the ARC requires organisational research offices and administration units to provide certifications, electronic data and other information. Please check with the administering organisation's research office in the first instance.

Preparing the application

Electronic forms – Grant Application Management System (GAMS)

Only Eligible Organisations, listed in Appendix 2 of the *2006 SRI Funding Rules* and Appendix 1 of the *Thinking Systems Call for Proposals*, are eligible to receive and administer *Thinking Systems* funding. Eligible Organisations' GAMS Contacts are listed on the ARC website at <http://www.arc.gov.au>.

Applications for *Thinking Systems* must be prepared via the ARC's online Grant Application Management System (GAMS). To enter GAMS, an applicant must have a valid GAMS User ID and password.

All participants on an application require a GAMS User ID. If you do not have a GAMS User ID and password, it should be sought from the relevant Research Office or administration unit of the applicant's organisation in the first instance.

If your organisation does not have a Research Office, or equivalent administration unit, GAMS IDs and passwords can be requested from the ARC. Simply complete the relevant 'Request for GAMS User Account' form available from the ARC website <http://www.arc.gov.au> and email to the ARC (GAMSIDS@arc.gov.au). The ARC will then respond to the request by emailing both a GAMS User ID and password.

NOTE: Previously allocated GAMS User IDs remain valid, applicants DO NOT have to apply for a new GAMS User ID each year, neither do people with assessor only logons.

The application form will save once relevant summary information has been entered, including Administering Organisation, Project Title, and first named Chief Investigator, GAMS will then automatically provide a *Thinking Systems* application Project ID beginning with TS06.

Applicants should contact their organisations Research Office in the first instance for assistance with GAMS.

Hard copy forms

In addition to the electronic application submitted via GAMS, an original and one identical paper copy of the application must be provided.

The following additional sections must be incorporated into the hard copy as appropriate:

- Section A9
- Section B4.3, ‘Additional Letter/s; for any participants associated with a Commonwealth Government-funded research Centre;
- Section B8, ‘Research Record Relative To Opportunities’;
- Sections C2 and C3, ‘Justifications of Funding Requested From the ARC’ and ‘Details of Non-ARC Contributions;
- Section D2, ‘Statements on ARC and/or NHMRC grants’. If any participants received any funding from the ARC and/or NHMRC during 2005, you will need to provide progress statements on the relevant projects with your application; and
- Part E, ‘Project Description’.

Applicants must record the total number of sheets contained in the application on the first page of the hard copy form, as shown in the example below:

Total number of sheets contained in this application	35
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Enter the **total** number of sheets contained in the proposal including all the pages of the application form, additional text, and any required supporting documentation. The ARC uses this as a verification tool for scanning and image storing purposes.

Printing the Application Form

The originating applicant may print the application from their home page in GAMS.

To print the application, select print to the right of the GAMS application record. A dialogue box will open and invite the applicant to save the file to the computer. Click on the save button to download the application. When the download is completed, select open and this will convert the file to Rich Text Format (RTF). The form can now be printed.

<p>NOTE: Do not alter the RTF, all changes must be made in GAMS before printing. Changes in the rtf that create differences between the submitted hard copy and the online GAMS form may result in the application being ineligible.</p>

Filling in the form

IMPORTANT: To ensure details entered into the application form are not lost, please save frequently. After 60 minutes GAMS will lock an idle application, the program will be aborted and any unsaved data will be lost.

The following instructions describe the type of details to enter under each of the headings and provide some examples of how to fill in the form.

NOTE: Applications should be completed sequentially, ie Part A first, then Part B, followed by Part C, and then Part D.

Project ID

You are not required to enter a Project ID. Once an administering organisation (A1) has been selected, the Project Title (A2) and first named participant entered (A3), and the application saved, a *Thinking Systems* Project ID will be automatically allocated to your application by the GAMS system.

AUSTRALIAN RESEARCH COUNCIL
THINKING SYSTEMS APPLICATION FORM
SPECIAL RESEARCH INITIATIVE FOR FUNDING COMMENCING IN 2006



- Note:* 1. You must read the *Special Research Initiatives Funding Rules for funding commencing in 2006* and the *ARC/NHMRC Thinking Systems Call for Proposals under ARC Special Research Initiatives for funding commencing in 2006* before filling out this form.
- * Indicates required information.
 - Please refrain from using the Back and Forward buttons on your browser to move between different parts of the application.
 - To save time in completing the application form, and prevent data loss, please save and validate frequently.
 - Applications should be completed sequentially, i.e. Part A, Part B, Part C, then Part D.

PROJECT ID:

PART A—ADMINISTRATIVE SUMMARY

A1

Eligible Organisations, listed in Appendix 2 of the *2006 SRI Funding Rules* and Appendix 1 of the *Thinking Systems Call for Proposals*, are eligible to receive and administer *Thinking Systems* funding. Section 5.1 of the *2006 SRI Funding Rules* provides further information regarding roles and eligibility.

Select from the drop-down list the name of the organisation that will administer the grant. The first-named Chief Investigator must be employed by the administering organisation during the period of the grant.

Example:

A1 ORGANISATION TO ADMINISTER GRANT*

(Please note this question must be completed first)

Name

If you are employed by a **university, medical research institute, museum, herbarium** or other organisation listed in the drop-down list at A1, select your organisation. If your **organisation** is not on the drop down list, select “**OTHER**” from the end of the drop-down list and overtype the name of the organisation into the text box.

NOTE: When you select the Administering Organisation (at A1), Project Title (at A2) and first named CI (at A3) and save the application, GAMS will automatically generate a Thinking Systems application Project ID.

A2 PROJECT TITLE

Insert a short descriptive title of no more than 210 characters (approx. 20 words). The title should be precise but as informative as possible, and adequately reflect the nature of the project.

Check the title for grammar and spelling and **do not** use all capitals in the title.

NOTE: 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.

Example:

A2 PROJECT TITLE*

(Provide a short descriptive title of no more than 20 words. Do not use quotation marks)

Smarter ways for extracting and moving rocks

A3 PARTICIPANT SUMMARY

Section 3.2 of the *Thinking Systems Call for Proposals* provides further information regarding investigator types, roles and eligibility.

Complete the family name of each participant and then select one of the following roles from the drop-down list for each participant: Chief Investigator (CI); Partner Investigator (PI);

Example:

A3 PARTICIPANT SUMMARY

Enter details of the lead Chief Investigator
Chief Investigators (CI), Partner Investigators (PI).

Person number	Family name*	Initials	Organisation	Role*
1	Flinestone		Bedrock University	CI
2	Rubble			PI

Extra Participant Participant Details

Remaining information in the Participant Summary Table regarding each applicant’s initials and organisation will be auto filled once you complete Section B of the application form.

The first named participant must apply as a Chief Investigator and must be an employee, or holder of an adjunct appointment, or equivalent, at the eligible Administering Organisation (at A1).

The first named investigator will be considered the project leader and will be the ARC’s primary reference for the application.

A4 REQUESTED SUPPORT

Indicate the years in which this application seeks *Thinking Systems* funding support by selecting the relevant boxes.

Example:

A4.2 Years for which support is being sought

Year 1

Year 2

Year 3

Year 4

Year 5

A5 SUMMARY DESCRIPTIONS

A5.1 Summary of Project

Write the summary in no more than 750 characters (approx. 100 words). Write in clear, plain English using the minimum of terminology unique to the area of study. This summary may be used by the ARC in the selection process, and may be used for publicity purposes.

Example:

A5 SUMMARY DESCRIPTIONS

A5.1 SUMMARY OF PROJECT *

In no more than 750 characters (approx 100 words) of plain language, summarise aims, significance and expected outcomes.

With the use of domesticated dinosaurs, Fred and many men like him who work in the rock industry spend their days toiling in the heat or cold extracting and moving an average 3 tonnes of rock each per day. The toll on the health of both man and beast due the physical

NOTE: 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.

A5.2 Summary of National/Community Benefit

Write the summary in no more than 750 characters (100 words). Write in clear, plain English, describing the expected national benefits for the Australian community that are expected to arise from the research. This summary may be used for publicity purposes.

Example:

A5.2 SUMMARY OF NATIONAL/COMMUNITY BENEFIT (FOR PUBLICITY PURPOSES)*

In no more than 750 characters (approx 100 words) of plain language, summarise the national/community benefits that are expected to arise from this research.

The cost to the people of the city of Bedrock from workers compensation claims and the use of the public health system due to health problems arising from poor working conditions within the rock extraction and moving industry is approximately 1 billion claims p.a.

A6 CLASSIFICATIONS AND OTHER STATISTICAL INFORMATION

A6.1 National Research Priorities

Thinking Systems is targeting the National Research Priority Area, *Frontier Technologies for Building and Transforming Australian Industries*, particularly its associated Priority Goals, 'Breakthrough science' and 'Frontier Technologies'.

Further details regarding National Research Priority Areas and their associated Priority Goals can be found in Appendix 1 of the *2006 SRI Funding Rules*.

Note: GAMS will automatically select the *Frontier Technologies for Building and Transforming Australian Industries* National Research Priority Area; you will not be able to choose a different National Research Priority Area. You may indicate, by selecting the appropriate box(es), any associated Priority Goal under the *Frontier Technologies for Building and Transforming Australian Industries* National Research Priority Area.

To save your selection, press the Save button at the bottom of the Priority Goals list. This action automatically returns you to the application form.

Example:

National Research Priorities

Research Priority 1: Frontier Technologies for Building and Transforming Australian Industries

- Breakthrough science
- Frontier technologies
- Advanced materials
- Smart information use
- Promoting an innovation culture and economy

A6.2 Keywords

Enter between one and six keywords to describe the proposed research. Please do not duplicate entries.

Select keywords carefully, as they are considered when readers are being selected to assess your application. The keywords should be of the kind normally required for submitting an article to a major refereed journal.

Example:

A6.2 Keywords*

Rock extraction
Rock moving
Workplace safety
Injuries

A6.3 Research classifications

Research classifications are available on the ARC website via <http://www.arc.gov.au>. Select from the drop-down lists at least one code under each of the Research Fields, Courses and Disciplines (RFCD) codes and Socio-Economic Objective (SEO) classifications. The RFCD classification defines the research according to disciplines. There is provision for up to three codes on the application form.

Indicate the relative importance of each code by using a percentage (rounded to the nearest multiple of 5). **Please prioritise the order and place the most important first in descending order (see example below)** and rounded to the nearest multiple of 5. These weightings must total 100%.

As *Thinking Systems* applications are expected to be multi-disciplinary, you may identify codes from more than one discipline.

Example:

A6.3 Research classifications (list from highest % to lowest %)

Research Fields, Courses and Disciplines* (RFCD)	%
310202	50
350499	30
290501 <input type="button" value="List"/>	20

The *SEO classification* indicates the sectors that are most likely to benefit from the research. There is provision for up to three codes on the application form.

Indicate the relative importance of each code by using a percentage (rounded to the nearest multiple of 5) in descending order. These weightings must total 100%.

Example:

Socio-Economic Objective* (SEO)	%
640206	70
660403	30
<input type="text"/> <input type="button" value="List"/>	<input type="text"/>

A6.4 Country/ies of international collaboration

If the proposed research involves international collaboration, please specify country/ies.

From the drop down list, select the names of the country or countries of researchers and/or other parties you will collaborate with on this project.

Example:

A6.4 Country/ies of international collaboration

NZ
Italy
Turkey
<input type="text"/>
<input type="text"/>
<input type="text"/> <input type="button" value="List"/>

A7 ADDITIONAL DETAILS

A7.1

Select the appropriate box to indicate whether you have submitted a similar application to another agency.

If you answer 'Yes' to this question, you must select the funding body from the drop down list to which the other application(s) has been made. If you select 'Other', please type the name of the agency/ies in the box following.

Example:

A7.1 Have you submitted a similar application to any other agency?

If Yes, please select one of the following:

Yes No

Dept of Industry, Tourism and Resources

If Other is selected, please enter the full name of the agency:

NOTE: You must also include the full list of any research support (requested, current or past successful awards), for the years 2005 to 2009, for all participants in D1 (Research Support).

A8 RESEARCH STUDENTS

The ARC is interested in reporting the number of Research Students that will be involved in your project if it is funded. Please enter the number of full-time equivalent (FTE) student places that will be filled as a result of this project.

Example:

A8 RESEARCH STUDENTS

The ARC is interested in reporting the number of Research Students that would be involved in this project if it is funded. Please enter the number of student places (full-time equivalent) that will be filled as a result of this project:

Number of Research Student Places (FTE) -

PhD 1.50

Masters

Honours 2.00

A9 CERTIFICATION (hard copy version only)

Completing this section is the responsibility of the administering organisation. The required signature(s) must be obtained before submitting the application to the ARC. By signing the certification, the Deputy/Pro Vice-Chancellor (Research) or equivalent certifies the following:


Certification by the Deputy/Pro Vice-Chancellor (Research) or their delegate or equivalent in the administering organisation.

I certify that—

- I have obtained the written agreement of all participants to submit this application.
- The Head of Department has approved this application.
- This organisation supports this application and if successful will provide basic infrastructure and the items listed in the budget for the project.
- I have obtained the agreement of other organisations involved in this application to provide the agreed support.
- Approval of the Partner Investigator's participation to the extent indicated has been received from her/his employer.
- I am prepared to have the project carried out in my organisation under the circumstances set out by the applicant(s).
- The amount of time that the investigator/s will be devoting to the project is appropriate to existing workloads.

- The project can be accommodated within the general facilities in this organisation, and sufficient working and office space is available for any proposed additional staff.
- All funds for this project will only be spent for the purpose for which they were provided.
- The project will not be permitted to proceed until appropriate ethical clearance has been obtained.
- I will notify the ARC if there are changes to named personnel after the submission of this application.
- I consent, on behalf of the participants, to this application being referred for peer review to persons who will remain anonymous.
- To the best of my knowledge, the Privacy Notice appearing at the top of this Application Form has been drawn to the attention of all the participants whose personal details have been provided at Part B.
- To the best of my knowledge all details on this application form are true and complete and that no information specifically relating to applicant track or publication records is false or misleading.
- I understand that it is an offence under the *Criminal Code Act 1995* to provide false or misleading information.

Example:

Signature of DVC/PCV(R) or delegate or equivalent (in black ink)	Name and title (please print)	Date
	Marilyn Smyth-Allan PVC (R)	12/ 12 /2005

PART B—PERSONNEL

Part B must be completed for each participant listed in Section A3

The ARC gathers your details to communicate with you, determine your eligibility, and conduct data and statistical analysis in relation to equity and other issues. Applicants' personal details in GAMS should be kept up to date, even after submission of the application.

B1 PERSON NUMBER

The Person number for each participant will be automatically filled from question A3. If you need to change the participant order, simply change the participant number at A3, and save the application form. The new order will then be presented.

The family name and role of each participant will be automatically filled from question A3:

Example:

A3 PARTICIPANT SUMMARY

Enter details of the lead Chief Investigator at Person number 1.
Chief Investigators (CI), Partner Investigators (PI).

Person number	Family name *	Initials	Organisation	Role *
1	Flintstone	W	Bedrock University	CI
2	Rubble			PI

Extra Participant Participant Details

B1 Example:

Flintstone Rubble

B1 Person number 1

B2

A GAMS User ID will be required for all participants on the application. See page 5 for information regarding obtaining GAMS IDs.

The relevant GAMS ID for each participant must be entered into the GAMS User ID box before clicking the "Fetch Client Details" button.

Example:

B2 ABBREVIATED DETAILS

GAMS ID:

Family Name : Flintstone	Role : CI
First Name :	Second Name :
Title :	
Department/school/other :	
Organisation :	

The current details included in GAMS for the participant, including postal information, will be displayed in Sections B2 and B3. You will be required to confirm that the abbreviated details are correct and the information is then entered into Sections B2 and B3 of the application form.

Example:

GAMS ID: V94312			
Family Name : Flintstone		First Name : Wilma	
Second name :		Title : Mrs	
Department/school/other : Rock industry studies		Organisation : Bedrock University	
Postal address line 1 : 123 bedrock road		Postal address line 2 : In the city	
Locality : Bedrock Cirty	State : Rockit	Postcode : 4566	Country : Australia
Gender : F	Date Of Birth : 02/02/1967	Phone : 02 8765 4321	Email : wilma@bedrock.edu.au

i GAMS Information
Are these details correct?
By clicking on CORRECT you will be including the details of this person as an Investigator on the current application.

NOTE: the entry of participants' details into the application is a "snap shot" of the client record at that point in time. Any future changes made to the participants' details in GAMS, need to be updated in the application form by clicking the "Fetch Client Details", prior to submission to the ARC. The form will not validate if client record details have been changed without being re-fetched into the form.

Once participant details have been fetched in Section B2 the Initials and Organisation fields in Section A3 will also be auto-populated.

Example:

A3 PARTICIPANT SUMMARY

Enter details of the lead Chief Investigator or Fellow at Person number 1.
Chief Investigators (CI), Partner Investigators (PI).

Person number	Family name*	Initials	Organisation	Role*
1	Flinestone		Bedrock University	CI
2	Rubble	B	Murdoch University	PI

B3 POSTAL ADDRESS

Section B3 is auto-populated when the GAMS User ID is entered and details are fetched.

Example:

B3 POSTAL ADDRESS

Department/school/other	Rock industry studies
Organisation	Bedrock University
Postal address line 1	123 bedrock road
Postal address line 2	In the city
Locality	Bedrock City
State	Rockit
Postcode	4566
Country	Australia

B4 MEMBERSHIPS/ASSOCIATIONS

B4.1

Select the relevant box to indicate if you are a current member of the ARC or NHMRC committees. This question relates only to associations with ARC or NHMRC committees and does not include staff of ARC/NHMRC-funded projects or centres.

Example:

B4.1 Are you a current member of the ARC/NHMRC or its advisory committees?

B4.2

Select the relevant box to indicate if you have an association with a member of the ARC or NHMRC Committee. If you indicate such an association by entering "Yes" enter the name/s of the members.

Example:

B4.2 Are any of your relatives or close social/professional associates members of the ARC/NHMRC or its advisory committees? Yes No
If Yes, name of the ARC/NHMRC member(s)

This information will assist the ARC in managing instances of potential conflict of interest. The ARC has procedures for declaring conflicts of interest and for members to withdraw from consideration of particular applications if a conflict of interest occurs.

B4.3 a)

Select the appropriate box to indicate whether you are associated with a Commonwealth Government funded Research Centre.

If you select Yes:

- i) provide the name of the Centre in the text box, **and**
- ii) provide the percentage of your salary that you receive from the Centre in the following box (to the nearest whole percent).

Example:

B4.3 Are you associated with a Commonwealth Government-funded research Centre?

Yes No

If Yes:

i) Please name the Centre, and

Centre of Commonwealth Funded Research

ii) Please provide the percentage of your salary received from the Centre (to the nearest whole percent):

%

Note: if an association is indicated, a letter from the Centre Director must be attached to the hard copy application. The letter needs to describe the relationship between the proposed research and the projects funded by the Centre, and state that “the proposed research does not duplicate work that is already funded or could reasonably be expected to be funded by the Centre”.

If you have ticked “Yes”, identifying an association with a Commonwealth-funded research Centre and fail to supply a letter as described above, your application may be deemed **ineligible**.

Section 3.3 of the *Thinking Systems Call for Proposals* refers to researchers from Commonwealth-funded research Centres. Further, Section 3.4 of the *Thinking Systems Call for Proposals* refers to duplication of Commonwealth funding.

B5

Select the relevant box to indicate if you are currently drawing salary from a non-higher education sector organisation that is primarily funded for research from Commonwealth or State Government sources.

Example:

B5 AFFILIATIONS*

If you are applying as a Chief Investigator, are you currently drawing salary from a non-higher education sector organisation that is primarily funded for research from Commonwealth or State Government sources?

Yes No

If Yes, describe the nature of your employment, association and/or financial interest (including % of salary).

5% Salary derived from a once off consultancy with a non-higher education organisation.

If you answer ‘Yes’ to question B.5, provide a brief statement explaining the nature of this employment (for example, a consultancy) and stating the percentage of salary derived from the organisation.

Note: B5 has a 255 character limit, including spaces.

B6 QUALIFICATIONS

Note: At least one of B6.1 or B6.2 must be complete.

B6.1 PhD qualification awarded

If applicable, please provide details of your PhD including the month and year awarded, or the date when the thesis was, or is to be, submitted. Select the organisation and the Country from the relevant list.

Example:

B6 QUALIFICATIONS

B6.1 PhD qualification awarded

Discipline/Field		Rock Industry	
Organisation		Bedrock University	List
Country		Australia	List
Month and Year awarded (mm/yyyy):		or Date Thesis Submitted / Proposed Submission Date (dd/mm/yyyy):	03/03/2005

B6.2 Other qualifications

Provide details of other qualifications including highest qualification if not PhD.

Example:

B6.2 Other qualifications (including highest Qualification if not PhD)

Degree/Award	Year	Discipline/Field	Organisation	Country
Masters	2001	Engineering	Dino University List	Australia List
BSc Hons	1999	Science	Beefcake University List	USA List
			List	List
			List	List
			List	List

B7 ACADEMIC, RESEARCH, PROFESSIONAL AND INDUSTRIAL EXPERIENCE

Provide details of academic, research, professional and industrial experience for up to the past 10 years in descending date order, beginning with your current/most recent position.

- Organisation
Select your organisation from list. If your **organisation** is not on the list, select “**OTHER**” from the list and overtype the name of the organisation into the text box.
- Status
 - You must choose from Postgraduate, Continuing, Non-Continuing, Currently not employed, or Other.

Example:

B7 ACADEMIC, RESEARCH, PROFESSIONAL AND INDUSTRIAL EXPERIENCE

Current and previous appointment(s)/position(s) - covering a maximum of the past 10 years

Position held	Organisation	Department	Year appointed	Status
PhD Student	Bedrock University <input type="button" value="List"/>	Rock Industry	2002	Postgraduate <input type="button" value="v"/>
Research Assistant	Rockafella Industries <input type="button" value="List"/>	<input type="text"/>	2001	Non-continuing <input type="button" value="v"/>
<input type="text"/>	<input type="text"/> <input type="button" value="List"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="v"/>
<input type="text"/>	<input type="text"/> <input type="button" value="List"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="v"/>
<input type="text"/>	<input type="text"/> <input type="button" value="List"/>	<input type="text"/>	<input type="text"/>	<input type="button" value="v"/>

B8 RESEARCH RECORD RELATIVE TO OPPORTUNITIES (hard copy only)

Submit section B8 of your application as additional text attached to the hard copy application. Please observe the page length limits as specified below.

Describe your contributions to research and research training using the headings below. Please group B8 questions/answers together for each Participant as numbered in A3.

B8.1 A statement on your most significant contributions to this research field

You must complete this Section. Taking no more than half an A4 page outline your contribution to the relevant field, relative to opportunity, focussing particularly on what makes this contribution interesting and unique.

B8.2 All refereed publications in the past 5 years

You must complete this section.

- Ensure that this listing is limited to the last 5 years, ie 2000 onwards.
- List publications under the following headings and in this order: books, book chapters, journal articles, conference papers, other publications.
- Provide a list of all your publications if you have fewer than 5 years of publications.
- Asterisk publications relevant to this application.
- In-press publications should include acceptance date.

B8.3 Ten career-best publications

Completing this section is optional.

- Include your best publications, regardless of date of publication.
- Do not list more than 10.
- In-press publications should include acceptance date.

B8.4 Other evidence of impact and contributions to the field

Completing this section is optional.

Take no more than half an A4 page and include information about prizes, awards, patents, relevant experience in industry, and editorial board responsibilities etc.

B8.5 Any aspects of your career or opportunities for research that are relevant to assessment and that have not been detailed elsewhere in this application.

Completing this section is optional.

Take no more than half an A4 page to detail relevant information, for example interruptions to career, or any other circumstances that may have slowed down your research and publications, such as periods of parental leave or your status as an Early Career Researcher (if applicable).

PART C—PROJECT COST

(See Example Part C – Project Cost, page 22)

C1 BUDGET DETAILS

Do **not** include GST in your costs. The ARC will make GST adjustments to payments as applicable.

C1.1 Year

A budget page is generated for each year that the applicant has specified at Section A4 that funding is sought. For example, if funding is sought for five years, the application will include five separate pages of the budget details sheet, one for each year.

Provide the following information in each column:

- Column 1 a list of the items for which you are seeking funding (from the ARC, Administering Organisation and other sources)
- Column 2 amounts of funding sought from the ARC according to the categories on the form (see below for more information on what to include in each category)
- Column 3 amounts that the Administering Organisation will provide to the project. Administering Organisation contributions are not required; however a proposal will be strengthened by containing Administering Organisation contributions.
- Column 4 details of any funding that is being provided for the project by other organisations. Industry input or partners are not required; however a proposal will be strengthened by containing Industry contributions. If one or more Partner Investigators are named on the project, their contribution(s) must be listed here.
- Column 5 Totals will be automatically calculated.

The ARC is seeking full costing information for proposals under *Thinking Systems* in order to enhance transparency and accountability and to help determine the actual contributions to be paid by the ARC and other parties.

It is not necessary to prioritise budget items. You must make requests to the ARC only for items essential to the project. The ARC reserves the right to determine the level of funding allocated to the project and may recommend partial funding of proposals.

Direct costs

Provide details of direct costs for your project according to the categories as explained below.

Direct costs are those that are specifically related to the individual project and do not include indirect general overheads.

Personnel (salaries + on-costs)

Salaries must include a 26 per cent loading to cover salary-related on-costs, including payroll tax, workers' compensation, leave loading, long-service leave, non-contributory and contributory superannuation, however, excludes items such as extended leave and severance pay.

- Base funding requests for Senior Research Associates, Research Associates and all other personnel on standard salary levels applying within the organisation using the appropriate rate at the time of application.
- Salaries will not be provided for Chief Investigators and Partner Investigators.

Teaching relief

Only Chief Investigators are eligible to apply for teaching relief. A Chief Investigator must be named and the amount or percentage for each year must be specified. Teaching relief may be sought for a maximum of 6 months per calendar year. Quote claims for teaching relief at a rate of \$31,070 (2005\$) per 6 months including on-costs, regardless of the level of appointment of the staff member.

Equipment

Include both hardware and software items costing more than \$1,000 in this category. Indicate the cost of equipment and installation based on the latest prices (excluding GST) obtained from the supplier at the time of application and do **not** estimate cost.

Maintenance

Include in this category consumables, as well as equipment items costing less than \$1,000. Do **not** include requests for hiring personnel for data preparation or programming. Include these under 'Personnel' as appropriate. Estimate the prices that will apply at the time of purchase.

Travel

Designate the costs clearly, itemising origins and destinations for travel, daily allowances, field expenses, etc.

Note: If you are proposing international travel, you should indicate at Section A6.4 the Country/ies of collaboration

Other

Include any items that cannot be appropriately placed in other categories.

Indirect costs

Indirect costs (essentially infrastructure costs) are borne by the Administering Organisation and should appear at the bottom of columns 3 or 4.

Indirect costs should be estimated by using a multiplier on the salary and salary on-costs (total direct payroll costs) for the professional staff involved. For these purposes professional staff include Chief Investigators, Partner Investigators and any researcher who is, or is equivalent to, Level A or above.

To calculate the indirect costs borne by any universities involved in the application, multiply the combined salary contribution for each professional staff member who has an amount listed in columns 2 and/or 3 by an appropriate multiplier.

To calculate the indirect costs borne by any organisations that are not universities, multiply the salary contribution for each professional staff member who has an amount listed in column 4 by an appropriate multiplier.

Use either the multiplier that the employing organisation has developed, or the AVCC multipliers of 1.25 on the direct payroll costs (salary plus on-costs) of laboratory-based research and 0.92 on the direct payroll costs for non-laboratory based research if the employing organisation does not have a multiplier.

EXAMPLE PART C—PROJECT COST

C1 BUDGET DETAILS

C1.1 YEAR 1

Column 1	COSTING				5 Total
	2	3	4		
Source of funds	ARC	Administering Organisation	Other		
DIRECT COSTS					
Personnel (Salaries + On-costs)					
CI (Flinstone) @ 0.3 FTE + 30% on-costs	0	54321	0		54321
PI (Rubble) @ 0.1 FTE + 35% on-costs	0	0	12000		12000
Research Associate (Level A) @ 0.4 FTE + 26% on-costs	20831	2954	0		23785
	0	0			0
Total Personnel (a)	20831				90106
Teaching Relief					
CI (Flinstone) 3 Months	15535	0			15535
	0	0			0
	0	0			0
	0	0			0
Total Teaching Relief (b)	15535		0	0	15535
Equipment					
Stone Engraver	1500	0	0		1500
Big Machine	0	50000	0		50000
Small Machine	0	0	12500		12500
	0	0	0		0
Total Equipment (c)	1500		50000	12500	64000
Maintenance					
Laboratory equipment and consumables	18012	0	0		18012
Tortoise tooth axe-hads	1200	0	0		1200
	0	0	0		0
	0	0	0		0
Total Maintenance (d)	19212		0	0	19212
Travel					
Australia-Rome, Italy	5000	0	0		5000
Australia-New York, USA	0	0	3500		3500
	0	0	0		0
	0	0	0		0
Total Travel (e)	5000		0	3500	8500
Other					
Stenography services	5000	0	0		5000
	0	0	0		0
	0	0	0		0
	0	0	0		0
Total Other (f)	5000		0	0	5000

CI from Admin Org at Admin Org salary

PI at industry salary

Difference between ARC salary level and Admin Org

3 months of teaching relief at ARC rate

TOTAL DIRECT COSTS (g)	67078	107275	28000	202353
INDIRECT COSTS				
CI, PIs and any researcher Level A or above x multiplier				
		0	0	0
		0	0	0
		0	0	0
		0	0	0
TOTAL INDIRECT COSTS (h)		0	0	0
TOTAL COSTS (i)	67078	107275	28000	202353

C2 JUSTIFICATION OF FUNDING REQUESTED FROM THE ARC (hard copy only)

Do **not** write more than two A4 pages when completing Section C2 of the application. Each budget item requested from the ARC (Column 2 in Section C1) must be justified.

- Justify fully each budget item requested in terms of need and cost.
 - In justifying your budget, it is not sufficient to claim that certain equipment or personnel costs \$X. Rather, you should state, for example, that a full-time technician with a specific level of expertise is required. The same level of explanation is required for all items being requested.
- Justify any funding being requested for relief from teaching or other duties for any member of the research team.
 - Funding to relieve you or another member of the team from normal duties for a period of not more than 6 months a year may be considered if the request is fully justified in terms of achieving a successful outcome for the project. Funds may be used for teaching relief only if this is specified in the Funding Agreement.
- Justify any funding being requested for major items of equipment.
 - Requests for any major items of equipment for the project are considered on their merits. You should plan to use existing equipment wherever possible. If you are seeking funding for new equipment, please describe how the equipment will be used and provide details of the manufacturer, supplier, cost and installation based on quotations obtained. Do not supply the quotations. You must justify the importance of the equipment to the research proposed and demonstrate that access to such equipment housed elsewhere is not practical. The administering organisation would be expected to contribute part of the funding required for expensive items of equipment.

C3 DETAILS OF NON-ARC CONTRIBUTIONS (hard copy only)

- Do **not** write more than one A4 page when completing Section C3 of the application.
- Provide an explanation of how non-ARC contributions (Columns 3 and 4 in Section C1) will support the project (use the same headings as in Column 1 in Section C1).
- If there is a Partner Investigator named on the application, provide details of his/her contribution.
- If there is no direct funding being provided by the administering organisation or other bodies in cases where this could reasonably be expected, explain fully why no commitment has been made.

PART D—ALL RESEARCH SUPPORT

D1 RESEARCH SUPPORT

Provide details for all Participants listed in Section A3:

The current proposal will be automatically listed first as ‘R’ under ‘Support type’ and will be auto-populated into the table. List other proposals in descending date order, with the most recent first.

Asterisk (*) any items that are in the same area of research as this application, using the tick box provided.

ARC/NHMRC-funded projects for which reports (including Progress and Final Reports) required in the respective *Conditions of Grant*, *Funding Contract* or *Funding Agreement* have been submitted should be indicated by a double asterisk (**) after the Description.

Support types (Sup. type) are ‘R’ for requested support for 2006, ‘C’ for current support, ‘P’ for past support.

The ARC or NHMRC Project ID column applies only to ARC or NHMRC grants.

Note:

Details should be provided for all sources of funding, not just ARC/NHMRC funding. Include any past, present and requested ARC Fellowships in the table.

Please include allocations approved by year, not funds carried forward.

Example:

Description (All named investigators on any grant held by a participant, project title, source of support, scheme)	(*)	Sup type	ARC or NHMRC Project ID (if applicable)	2005 (\$'000)	2006 (\$'000)	2007 (\$'000)	2008 (\$'000)	2009 (\$'000)
smarter ways of moving rocks	*	R	TS0609233		100	55	75	
Rubble, The rock culture, ARC, Linkage Project **	<input type="checkbox"/>	C	LP0455545	35	35	40		
Rubble & F Flintstone New Age Cave Men, NHMRC	<input type="checkbox"/>		P05564454	45	45	45		

Ensure that details of requested, current, and past support are shown for:

- all applicants listed in Section A3 of the application form; and
- all funding agencies, not only the ARC.

Note: Incomplete or misleading information may be grounds for ineligibility.

D2 STATEMENTS ON PROGRESS OF ARC and/or NHMRC GRANTS (hard copy only)

Include with your application a statement detailing progress for each project held by any of the participants who received funds in 2005 under any ARC and/or NHMRC funding schemes.

Write no more than one A4 page for each grant. Provide a list of these statements and attach them to your application.

PART E—PROJECT DESCRIPTION

Submit this part of the application as additional text attached to the hard copy application. Do not write more than **10 A4 pages**.

Explain the project and its expected outcomes in a way that can be appreciated by all assessors. Include the following sections:

E1 PROJECT TITLE

This must be the same as in Section A2 of the application form.

E2 CROSS-DISCIPLINARY APPROACH AND METHOD

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 *Thinking Systems Call for Proposals*, 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;

E3 INNOVATION

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?

E4 INVESTIGATORS

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;

E5 NATIONAL SIGNIFICANCE AND IMPORTANCE

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?

E6 COMMUNICATION OF RESULTS

Outline your plans for communicating the research results including public communication and dissemination.

E7 DESCRIPTION OF PERSONNEL

Summarise the role, responsibilities and contributions of each Chief Investigator and Partner Investigator.

Summarise the roles and levels of involvement of other participants, for example technical staff.

E8 REFERENCES

Include a list of all references. This list, which may be in 10 point font, must be included in the page limit of 10 pages for Part E.

Application checklist

A complete application consists of the following components:

Part A	Administrative summary	
	<ul style="list-style-type: none"> • Application form 	A1-A8 A9 Signature of DVC/PVC (R), equivalent in other administering organisations
Part B	Personnel	
	<ul style="list-style-type: none"> • Application form 	Complete Part B for each participant listed at A3.
	<ul style="list-style-type: none"> • Additional text 	B8 Research record relative to opportunities <ul style="list-style-type: none"> ▪ B8.1 (half A4 page) ▪ B8.2 ▪ B8.3 ▪ B8.4 (half A4 page) ▪ B8.5 (half A4 page)
Part C	Project cost	
	<ul style="list-style-type: none"> • Application form 	Complete C1 for each year of funding support sought
	<ul style="list-style-type: none"> • Additional text 	C2 no more than two A4 pages
	<ul style="list-style-type: none"> • Additional text 	C3 no more than one A4 page
Part D	Research support	
	<ul style="list-style-type: none"> • Application Form • Supporting documentation 	Complete D1 D2 Statement on progress of ARC and/or NHMRC grants – no more than one page for each grant
Part E	Project description	
	<ul style="list-style-type: none"> • Additional text 	No more than 10 A4 pages
If applicable, a letter of certification from the Director of a Commonwealth Government funded research centre must be attached as per Section 3.4 of the <i>Thinking Systems Call for Proposals under ARC Special Research Initiative for Funding commencing in 2006</i> and B4.3 of the Application Form.		

NOTE: Applications must be submitted both electronically (To ‘ARC Valid’ status) and two identical hardcopies received by the ARC by **17:00 (AEDT) 14 December 2005**.