



**Australian Government**  

---

**Australian Research Council**

***Funding Rules for schemes under  
the Linkage Program (2017 edition)***

---

- ***Learned Academies Special Projects***  
**for funding commencing in 2017**
- ***Supporting Responses to  
Commonwealth Science Council  
Priorities*** for funding commencing in  
**2017**

*Australian Research Council Act 2001*

---

I, Simon Birmingham, Minister for Education and Training, 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 that Act.

Dated 27 April 2017

Simon Birmingham

Minister for Education and Training

---

## Table of Contents

<b>Key Dates</b>	<b>4</b>
<b>Contacts</b>	<b>4</b>
<b>Part A General Rules For Schemes Under The Linkage Program</b>	<b>5</b>
<b>A1. Name Of Funding Rules</b>	<b>5</b>
<b>A2. Commencement</b>	<b>5</b>
<b>A3. Definitions</b>	<b>5</b>
<b>A4. Introduction</b>	<b>8</b>
A4.1 Overview	8
A4.2 Research/Activities Supported	9
A4.3 Research/Activities Not Supported	9
<b>A5. Funding</b>	<b>9</b>
A5.1 Level And Period Of Funding	9
A5.2 Budget Items Supported	10
A5.3 Budget Items Not Supported	11
<b>A6. Organisation General Eligibility Requirements</b>	<b>11</b>
A6.1 Eligible Organisations	11
<b>A7. Participant General Eligibility Requirements</b>	<b>11</b>
A7.1 Eligibility Criteria For Participants	11
A7.2 Eligibility Criteria For Chief Investigators	12
A7.3 Eligibility Process	13
<b>A8. Submission Of Proposals</b>	<b>13</b>
A8.1 Proposals	13
A8.2 Submission Of Proposals In RMS	13
A8.3 Closing Time For Proposals	14
A8.4 Certification In RMS	14
A8.5 Conflict Of Interest	14
<b>A9. Selection And Approval Process</b>	<b>14</b>
A9.1 Assessment And Selection Process	14
A9.2 Rejoinder	15
A9.3 Request Not To Assess	15
A9.4 Recommendations And Offer Of Funding	15
<b>A10. Appeals Process</b>	<b>16</b>
<b>A11. Reporting Requirements</b>	<b>16</b>
A11.1 End Of Year Reports And Progress Reporting By Exception	16
A11.2 Final Reports	17
<b>A12. Fundamental Principles Of Conducting Research</b>	<b>17</b>
A12.1 Ethics And Research Practices	17
A12.2 Applicable Law	17
A12.3 Confidentiality	18
A12.4 Intellectual Property	18
A12.5 Publication And Dissemination Of Research Outputs And Research Data	19
A12.6 Misconduct, Incomplete Or Misleading Information	19
<b>A13. Organisation Eligibility Requirements</b>	<b>20</b>

A13.1 Eligible Organisations .....	20
<b>Part B Scheme-Specific Rules For <i>Learned Academies Special Projects For Funding Commencing In 2017</i></b> .....	<b>21</b>
<b>B1. Interpretation</b> .....	<b>21</b>
<b>B2. Commencement Date</b> .....	<b>21</b>
<b>B3. Objectives</b> .....	<b>21</b>
B3.1 Scheme Objectives .....	21
<b>B4. Selection Criteria</b> .....	<b>22</b>
B4.1 Scheme Selection Criteria.....	22
<b>B5. Funding</b> .....	<b>22</b>
B5.1 Level And Period Of Funding .....	22
<b>Part C Scheme-Specific Rules For <i>Supporting Responses To Commonwealth Science Council Priorities</i></b> .....	<b>23</b>
<b>C1. Interpretation</b> .....	<b>23</b>
<b>C2. Commencement Date</b> .....	<b>23</b>
<b>C3. Objectives</b> .....	<b>23</b>
C3.1 Scheme Objectives .....	23
<b>C4. Selection Criteria</b> .....	<b>23</b>
C4.1 Scheme Selection Criteria.....	23
<b>C5. Funding</b> .....	<b>24</b>
C5.1 Level And Period Of Funding .....	24

## Key Dates

Please refer to the [Important Dates](#) page on the [ARC website](#) for key dates and updates relevant to these Funding Rules.

## Contacts

Researchers are required to direct requests for information to the Administering Organisation.

ARC Contacts can be located on the [ARC website](#).

Appeals must be addressed and sent to the Appeals Officer by email to: [appeals@arc.gov.au](mailto:appeals@arc.gov.au).

## Part A General Rules for schemes under the Linkage Program

### A1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Funding Rules for schemes under the Linkage Program (2017 edition)*

- *Learned Academies Special Projects* for funding commencing in 2017
- *Supporting Responses to Commonwealth Science Council Priorities* for funding commencing in 2017

### A2. Commencement

These Funding Rules shall take effect upon registration on the Federal Register of Legislative Instruments.

### A3. Definitions

In these Funding Rules, unless the contrary intention appears:

**Active Project** means a Project that is receiving funding according to the terms of the original Funding Agreement, or has any carryover funds approved by the ARC, or an approved variation to the Project's end date.

**Administering Organisation** means an Eligible Organisation which submits a Proposal for funding and which will be responsible for the administration of the funding if the Project is approved for funding.

**Applicant** means the Administering Organisation.

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

**ARC Act** means the [Australian Research Council Act 2001](#).

**ARC Award** means a named Award position within any ARC scheme where the salary is funded wholly or partly by the ARC.

**ARC College of Experts** means a body of experts of international standing appointed to assist the ARC to identify research excellence, moderate external assessments and recommend fundable Proposals.

**ARC website** is [www.arc.gov.au](http://www.arc.gov.au).

**Bench Fees** means the fees that an organisation charges for an individual to use infrastructure which would normally be provided by the organisation for their employees. This infrastructure may vary and could include, for example, an office or a laboratory space with appropriate equipment, or access to non-specialised equipment owned by the organisation.

**Chief Investigator (CI)** means a researcher who satisfies the eligibility criteria for a CI under these Funding Rules.

**Commonwealth** means the Commonwealth of Australia.

**Commonwealth Fellowship** means a position held by a researcher where the salary is funded wholly or partly by the Commonwealth and where the researcher in that position was a named participant in a Proposal.

**Conflict of Interest** means any conflicts of interest, any risk of a conflict of interest and any apparent conflict of interest arising through a party engaging in any activity, participating in any association, holding any membership or obtaining any interest that is likely to conflict with or restrict that party participating in the Project. The [ARC Conflict of Interest and Confidentiality Policy](#) is available on the [ARC website](#).

**Eligible Organisation** means an organisation listed in A13.

**Emeritus Appointment** means any honorary position that gives full academic status, as certified by the Deputy Vice-Chancellor (Research) in the Proposal. These positions are typically held by former academic staff members who continue to have an ongoing relationship with the institution. For ARC purposes this relationship must include access to research support comparable to employees, and would also normally include participation in postgraduate supervision. The person would not normally be eligible if they hold a substantive (paid) position elsewhere.

**Field Research** means the collection of information integral to the Project outside a laboratory, library or workplace setting and often in a location external to the researcher's normal place of employment.

**Funding Agreement** means the agreement entered into by the ARC and an Administering Organisation when a Proposal from that organisation is approved for funding.

**Funding Commencement Date** means the date on which funding commences as defined for each scheme in Parts B and C of these Funding Rules.

**GrantConnect** means the central information system for all Commonwealth grants awarded and is found at [www.grants.gov.au](http://www.grants.gov.au).

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

**Instructions to Applicants** means a set of instructions prepared by the ARC to assist Applicants in completing the application form and associated documentation.

**Linkage Program** refers to, for the purposes of eligibility, the schemes funded under the Linkage Program of the NCGP which consist of: *Industrial Transformation Research Hubs; Industrial Transformation Training Centres; Linkage Projects; Linkage Infrastructure, Equipment and Facilities, Learned Academies Special Projects; Supporting Responses to Commonwealth Science Council Priorities; and other schemes as updated from time to time.*

**Medical Research** as defined in the [ARC Medical Research Policy](#) available on the [ARC website](#).

**Minister** means the Minister responsible for the administration of the ARC Act.

**NCGP** means the ARC's *National Competitive Grants Program*.

**NHMRC** means the National Health and Medical Research Council.

**ORCID Identifier** means a persistent digital identifier for an individual researcher, available on the [ORCID website](#).

**Other Eligible Organisation** means an Eligible Organisation listed on a Proposal as a contributor to the Project but is not the Administering Organisation.

**Other Organisation** means an organisation which is listed on a Proposal and is not an Eligible Organisation or a Partner Organisation.

**Partner Organisation** means an Australian or overseas organisation, other than an Eligible Organisation, which satisfies the eligibility requirements for a Partner Organisation and is to be a cash and/or in-kind contributor to the Project.

**PhD** is a qualification that meets the level 10 criteria of the *Australian Qualifications Framework Second Edition January 2013*.

**Project** means a Proposal approved by the Minister to receive funding from the ARC.

**Project Initialisation Date** means the date when the Project Funding Agreement is executed by the ARC in RMS.

**Project Leader** means the researcher from the Administering Organisation who is either the first-named CI on a Proposal, or in the case of the *Industrial Transformation Research Hubs* and *Industrial Transformation Training Centres* schemes, the Hub Director or Training Centre Director, respectively.

**Proposal** means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.

**Research** is defined, for the purposes of these Funding Rules, as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development comprising “creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man [humankind], culture and society, and the use of this stock of knowledge to devise new applications”<sup>1</sup>.

---

<sup>1</sup> OECD (2002), *Frascati Manual: Proposed Standard Practice for Surveys on Research and Experimental Development*, Paris (Page 30).

**Research Impact** is the demonstrable contribution that research makes to the economy, society, culture, national security, public policy or services, health, the environment, or quality of life, beyond contributions to academia.

**Research Infrastructure** means assets, facilities, services, and coordinated access to major national and/or international research facilities or consortia which directly support research in higher education organisations and more broadly and which maintain the capacity of researchers to undertake excellent research and deliver innovative outcomes.

**Research Output** means all products of the research Project that meet the ARC definition of Research.

**RMS** means the ARC's online Research Management System.

**Selection Advisory Committee (SAC)** means a group of experts from industry and academia appointed to assist the ARC to evaluate Proposals and to provide a recommendation for funding to the ARC.

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

**Science and Research Priorities** means priority research areas identified by the Australian Government, and available on the [ARC website](#).

**Technical Workshop Services** means specialised construction and maintenance activities carried out by a technician, often within a dedicated facility for working with materials such as wood, glass, metal, plastics or electronics.

## **A4. Introduction**

### **A4.1 Overview**

- A4.1.1 These Funding Rules are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force then.
- A4.1.2 These Funding Rules relate to schemes funded under the Linkage Program of the NCGP. The Linkage Program supports the growth of research partnerships in Australia and overseas that generate new knowledge, technologies and innovations.
- A4.1.3 The objectives of the Linkage Program are to deliver outcomes of benefit to Australia and build Australia's research and innovation capacity through support for:
- a. collaborative research between university-based researchers and researchers in other sectors;
  - b. research training and career opportunities that enable Australian and international researchers and research students to work with industry and other end-users; and
  - c. research in priority areas.



- A4.1.4 The Linkage Program schemes provide funding to Administering Organisations to support research Projects.
- A4.1.5 Linkage Program funding will be awarded on the basis of excellence through a competitive peer review process for each scheme.
- A4.1.6 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the Linkage Program.
- A4.1.7 The Key Performance Indicators (KPIs) for the Linkage Program are specified each year in the ARC Portfolio Budget Statements and the ARC Corporate Plan. The KPIs focus on long-term outcomes as well as medium term outcomes relating to building Australia's research capacity, for example, research careers and training, contributions in areas of national need and research collaboration. These are addressed each year in the ARC's annual report.
- A4.1.8 For details of scheme-specific overviews refer to Part B and C of these Funding Rules.

## **A4.2 Research/Activities Supported**

- A4.2.1 Research activities that meet the definition of Research in A3 of these Funding Rules will be supported.

## **A4.3 Research/Activities Not Supported**

- A4.3.1 Except where such activities meet the definition of Research in A4.2.1, the Linkage Program does not support the production of:
- a. compilation of data, computer programs, research aids and tools;
  - b. descriptive data compilations, catalogues or bibliographies; or
  - c. teaching materials.
- A4.3.2 The Linkage Program does not support Medical Research, as defined in A3 of these Funding Rules.

## **A5. Funding**

### **A5.1 Level and Period of Funding**

- A5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.
- A5.1.2 The ARC reserves the right to recommend funding levels which may be less than those requested in the Proposal, and a duration of ARC funding which may differ from that requested in the Proposal.
- A5.1.3 Funding for approved Projects will commence effective as per the Funding Commencement Date for the Scheme. Funding for approved Projects will commence after Ministerial announcement or other arrangements that are approved by the ARC. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.
- A5.1.4 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.
- A5.1.5 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

- A5.1.6 For scheme-specific Level and Period of Funding refer to Part B and C of these Funding Rules.

## **A5.2 Budget Items Supported**

- A5.2.1 Budget items that directly support a research project may be funded.
- A5.2.2 All budget items must be justified in the Proposal to the satisfaction of the ARC.
- A5.2.3 Budget items that directly support a research project may be funded, including:
- a. access to national and international research and infrastructure facilities including specialist archives, collections and databases;
  - b. access to Technical Workshop Services linked to and justified explicitly against the Project (for example, machine tools and qualified technicians);
  - c. expenditure on Field Research essential to the Project, including technical and logistical support, and travel and accommodation costs;
  - d. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:
    - i. language translation services, transcribing services;
    - ii. purchase of bibliographical or archival material (electronic or hard copy); and
    - iii. data collection and analysis services.
  - e. equipment (and its maintenance) and consumables required for the Project. Funding will not be provided for equipment or consumables that are deemed to be for broad general use;
  - f. publication and dissemination of Project Research Outputs and outreach activity costs;
  - g. specialised computer equipment and software essential to the Project;
  - h. travel costs essential to the Project, including economy travel costs for domestic and/or international travel and accommodation. Funding is permitted for CIs, Higher Degree by Research candidates, postdoctoral fellows and research support personnel;
  - i. web hosting and web development specific to the Project;
  - j. workshops, focus groups and conferences that are necessary for the conduct of the proposed research (including reasonable hospitality costs such as morning tea, lunch and afternoon tea); and
  - k. reasonable essential extraordinary costs to allow a researcher who is a carer, or who themselves require care or assistance, to undertake travel essential to the Project.

### **A5.3 Budget Items Not Supported**

A5.3.1 Budget items which will not be supported by ARC funding and should not be requested in the budget include:

- a. Bench Fees or similar laboratory access fees;
- b. capital works and general infrastructure costs;
- c. costs not directly related to research or the Project, including but not limited to professional membership fees, professional development courses, fees for patent application and maintenance, equipment for live music or drama performances, visas, relocation costs, entertainment costs, insurance, and other indirect costs;
- d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and
- e. salaries and/or on costs, in whole or in part, for Chief Investigators (CIs).

A5.3.2 The following basic facilities must be provided and funded by the Administering Organisation, where relevant, and will not be funded by the ARC:

- a. access to a basic library collection;
- b. access to film or music editing facilities;
- c. accommodation (for example, laboratory and office space, suitably equipped and furnished);
- d. basic computer facilities and standard software; and
- e. standard reference materials or funds for abstracting services.

A5.3.3 In-kind Contributions in the budget section of the Proposal should not include basic salary for any Commonwealth Fellowships, unless it is salary over and above the Commonwealth component supported.

## **A6. *Organisation General Eligibility Requirements***

### **A6.1 Eligible Organisations**

A6.1.1 A Proposal may only be submitted through an Eligible Organisation.

A6.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations. A Proposal may only be submitted once in the same funding scheme round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

## **A7. *Participant General Eligibility Requirements***

### **A7.1 Eligibility Criteria for Participants**

A7.1.1 The role that may be nominated in a Proposal is Chief Investigator (CI).

- A7.1.2 A Proposal must nominate at least one CI; the first-named CI must be from the Administering Organisation, will be the Project Leader and must have a demonstrated high capacity to manage the Project.
- A7.1.3 All CIs named in a Proposal must satisfy the eligibility criteria for the role they are to perform as at the scheme-specific Funding Commencement Date and for the duration of the Project.
- A7.1.4 If the ARC considers that all CIs named in a Proposal do not meet the eligibility criteria, the Proposal may be deemed ineligible.
- A7.1.5 All CIs named in a Proposal must take responsibility for the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant.
- A7.1.6 All CIs named in a Proposal must make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be undertaken by others.
- A7.1.7 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving all CIs named in the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.
- A7.1.8 All CIs must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. All CIs must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

## **A7.2 Eligibility Criteria for Chief Investigators**

- A7.2.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria at the scheme-specific Funding Commencement Date and for the duration of the Project:
  - a. be a Fellow, Corresponding Member, Royal Fellow, Honorary Fellow, Foundation Fellow, Foreign Fellow or Overseas Fellow of, or hold an equivalent status with, an Eligible Organisation; or
  - b. be an employee of, and be employed for at least 0.2 Full Time Equivalent (FTE) by an Eligible Organisation.

CIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their CI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.
- A7.2.2 Researchers undertaking a Higher Degree by Research are not eligible to be CIs. Researchers must have their Higher Degree by Research conferred by the Funding Commencement Date of the Project in order to be eligible.
- A7.2.3 A CI must take significant intellectual responsibility for the conception and conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results.
- A7.2.4 A CI must have the capacity to provide effective supervision, support and mentoring of research personnel, including Higher Degree by Research

candidates and postdoctoral fellows, associated with the Project for whom they are responsible.

- A7.2.5 A CI must reside predominantly in Australia for the life of the Project. Any significant absences including fieldwork or study leave directly related to the Project must have approval from the Administering Organisation and must not total more than half the Project funding period.
- A7.2.6 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that any replacement CI meets the CI eligibility criteria and is approved by the ARC via a *Variation of Funding Agreement*.

### **A7.3 Eligibility process**

- A7.3.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements is ineligible for funding.
- A7.3.2 A decision under A7.3.1 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.
- A7.3.3 The Funding Commencement Date will be used for the purposes of determining eligibility.

## **A8. Submission of Proposals**

### **A8.1 Proposals**

- A8.1.1 The Proposal must be submitted as a mature research plan presenting the proposed Project ready for implementation and 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.
- A8.1.2 All details in the Proposal must be current at the time of submission.
- A8.1.3 Applicants should note the eligibility criteria for access to other 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](#).
- A8.1.4 Applicants who are applying for another ARC funding scheme (not covered by these Funding Rules) should consult the funding rules for the other scheme to determine if applying for or holding a Project under these Funding Rules will affect their eligibility for the other ARC funding scheme.

### **A8.2 Submission of Proposals in RMS**

- A8.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.
- A8.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS online form and the relevant scheme Instructions to Applicants.

### **A8.3 Closing Time for Proposals**

- A8.3.1 The online Proposal form completed within RMS must be submitted by the relevant scheme closing date and time as listed on the Important Dates page on the [ARC website](#).
- A8.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- A8.3.3 Upon receipt of a written request with justification from the Administering Organisation the ARC may approve the withdrawal of a Proposal. The ARC will only approve such a request in exceptional circumstances.

### **A8.4 Certification in RMS**

- A8.4.1 The Administering Organisation must certify a Proposal online in RMS. The Academy must ensure that the person assigned the 'Research Office Delegate' role in RMS is authorised to certify and submit Proposals.
- A8.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

### **A8.5 Conflict of Interest**

- A8.5.1 Each participant or organisation named in a Proposal must declare to the Administering Organisation at the date of submission any Conflict of Interest that exists or is likely to arise in relation to any aspect of the Proposal.
- A8.5.2 If a Conflict of Interest exists or arises, the Administering Organisation must have documented processes in place for managing the Conflict of Interest for the duration of the Project. Such processes must comply with the *Australian Code for the Responsible Conduct of Research* (2007), the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.
- A8.5.3 As part of the certification at A8.5.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A8.5.1, and that any Conflict of Interest will be managed in accordance with A8.5.2.

## **A9. Selection and Approval Process**

### **A9.1 Assessment and Selection Process**

- A9.1.1 Assessment of Proposals is undertaken by the ARC, which has the right to make recommendations for funding to the Minister, based on any number of assessments or solely on the basis of its expertise.
- A9.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.
- A9.1.3 All Proposals may be:
- a. assigned to independent assessors, from a range of organisations, who will assess and report, which may include written comments, on the Proposal against the selection criteria; and
  - b. ranked and recommended a budget, relative to other Proposals, by the SAC, on the basis of the Proposal, any assessors' reports and any rejoinder.

- A9.1.4 The ARC may cease the progression of Proposals at any time during the selection process. Grounds for cessation include, but are not limited to:
- a. the Proposal does not meet the eligibility requirements set out in these Funding Rules; or
  - b. the Proposal contains incomplete, inaccurate or misleading information.
- A9.1.5 Following the recommendations of the SAC, the CEO will make recommendations to the Minister in relation to which Proposals should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.
- A9.1.6 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the ARC College of Experts or SAC, members of other ARC Committees and ARC staff. Details of these procedures are available on the [ARC website](#).

## **A9.2 Rejoinder**

- A9.2.1 The Administering Organisation may be given the opportunity for a rejoinder to assessors' written comments, and to provide any additional information requested by the ARC. Names of assessors will not be provided to the Administering Organisation or to Proposal participants.

## **A9.3 Request Not to Assess**

- A9.3.1 Administering Organisations may name up to three persons whom they do not wish to assess a Proposal by submitting a 'Request Not to Assess' form as detailed on the [ARC website](#). This form must be received by the ARC two weeks prior to the relevant scheme closing date.

While the ARC may accommodate such requests, only one request containing the names of up to three individual assessors may be submitted per Proposal.

In extraordinary circumstances, the ARC may consider a request for more than three persons whom the Administering Organisation does not wish to assess a Proposal only if direct and comprehensive evidence justifying the exclusion of each named person can be provided. However, if the ARC considers the evidence insufficient for one or more of the named people, the whole request may be rejected.

- A9.3.2 It will be at the absolute discretion of the ARC whether it will accommodate a request under A9.3.1.

## **A9.4 Recommendations and Offer of Funding**

- A9.4.1 In accordance with the ARC Act, the ARC CEO will submit funding recommendations to the Minister for consideration. The Minister will determine which Proposals will be approved and the amount and timing of funding to be paid to Administering Organisations for approved Proposals.
- A9.4.2 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.
- A9.4.3 All Administering Organisations will be notified of the outcomes of their Proposals (including Proposals not recommended for funding). Outcomes, funding allocations and other relevant information about the successful Proposals will be published on the [ARC website](#) and [GrantConnect](#).

- A9.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer and will be required to enter into a Funding Agreement.
- A9.4.5 The ARC may vary the funding approval if, in the opinion of the ARC, the particular circumstances of the Project warrant variation. Any variation or change will accord with the relevant Funding Rules and Funding Agreement.

## **A10. Appeals Process**

- A10.1 Applicants for funding under the schemes of the NCGP are able to submit an appeal against administrative process issues. The appeals process is designed to ensure that the Proposal has been treated fairly and consistently in the context of selection procedures.
- A10.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome. Appellants must identify the specific Funding Rule clause, policy or procedure which they believe has been incorrectly applied.
- A10.3 Appeals must be submitted by the Administering Organisation on the [ARC Appeals Form](#) on the [ARC website](#), authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within 28 days** of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00pm (AEDT/AEST) on the appeals submission due date.
- A10.4 Appeals must be submitted to the ARC electronically to the Appeals inbox at: [appeals@arc.gov.au](mailto:appeals@arc.gov.au).
- A10.5 Applicants for funding may at any time seek to appeal ARC decisions using available external appeal options. Regarding available options for external appeal, the Administrative Appeals Tribunal does not have general power to review ARC decisions.

## **A11. Reporting Requirements**

Details of ARC reporting requirements can be found on the [ARC website](#).

### **A11.1 End of Year Reports and Progress Reporting by Exception**

- A11.1.1 The Administering Organisation must submit an End of Year Financial Report by 31 March in the year following each calendar year for which the Funding was awarded, in accordance with the instructions to be provided by the ARC each year.
- A11.1.2 The Progress Report by exception must only be completed if significant issues are affecting the progress of the Project.
- A11.1.3 The Administering Organisation must submit an annual Progress Report to the ARC for each Project in the format and by the due dates detailed in the Funding Agreement. Details of ARC reporting requirements can be found on the [ARC website](#).
- A11.1.4 If the ARC is not satisfied with the progress of any Project, further payment of funds may not be made until satisfactory progress has been made on the Project. If satisfactory progress is still not achieved within a reasonable period of time, the Funding may be terminated and all outstanding monies will be recovered by the ARC.



A11.1.5 The form for these reports will be made available by the ARC in RMS, with instructions on the [ARC website](#).

## **A11.2 Final Reports**

A11.2.1 A Final Report must be submitted for the Project within 12 months of the final payment or within 12 months of the final ARC approved Project end date. The form for this report will be made available by the ARC in RMS, with instructions on the [ARC website](#).

A11.2.2 The Final Report must address compliance with the [ARC Open Access Policy](#) as detailed in A12.5.

A11.2.3 If any reports are not submitted or are not satisfactory to the ARC this will be noted against future Proposals submitted by all participants on the Project.

A11.2.4 The ARC may also seek additional information about subsequent Research Outputs after submission of the Final Report.

## **A12. Fundamental Principles of Conducting Research**

### **A12.1 Ethics and Research Practices**

A12.1.1 All Proposals and ARC-funded research Projects must conform to the principles outlined in the following and successor documents:

- a. *Australian Code for the Responsible Conduct of Research* (2007);
- b. as applicable, the *National Statement on Ethical Conduct in Human Research* (2007, updated 2015);
- c. as applicable, *NHMRC Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (2003);
- d. as applicable, Australian Institute of Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Australian Indigenous Studies* (2012);
- e. as applicable, Australia Council for the Arts *Indigenous Cultural Protocols for Producing Indigenous Music; Writing; Visual Arts; Media Arts; and Performing Arts* (2007); and
- f. as applicable, the *Australian Code for the care and use of animals for scientific purposes* (2013) endorsed by the NHMRC, the ARC, the Commonwealth Scientific and Industrial Research Organisation and Universities Australia.

A12.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

### **A12.2 Applicable Law**

A12.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988*, *Freedom of Information Act 1982* and the *Criminal Code Act 1995*.

## **A12.3 Confidentiality**

- A12.3.1 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 is:
- a. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties in order to assess, evaluate or verify the quality, accuracy or completeness of a Proposal;
  - b. disclosed by the ARC to its advisors (including assessors), officers, employees or other third parties solely to comply with obligations or exercise rights under the *ARC Research Integrity and Research Misconduct Policy*;
  - c. disclosed by ARC personnel to third parties to enable effective management or auditing of the Linkage Program schemes or any Funding Agreement;
  - d. disclosed by the ARC to the relevant Minister and their staff;
  - e. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
  - f. authorised or required by law to be disclosed;
  - g. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
  - h. in the public domain.
- A12.3.2 Where information contained in a Proposal is made available to third parties for evaluation, assessment or audit purposes the ARC will require the third parties to maintain the confidentiality of the material, including any Intellectual Property contained in the Proposal.
- A12.3.3 In addition to the exemptions listed in A12.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project: the name of the Administering Organisation and any other parties involved in or associated with the Project; named participants and their organisations; the proposed research program (the title and summary descriptions of the Project); infrastructure, equipment and/or facilities funded; classifications and international collaboration country names; and the level and nature of financial assistance from the ARC. Administering Organisations should ensure that information contained in the Proposal title and summary descriptions would not, if released, compromise their own requirements for confidentiality (such as protection of Intellectual Property).
- A12.3.4 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.

## **A12.4 Intellectual Property**

- A12.4.1 The ARC does not claim ownership of any Intellectual Property in a Proposal or in any research arising from a Project.
- A12.4.2 The Administering Organisation must adhere to an Intellectual Property policy, approved by the Administering Organisation's governing body,

which has as one of its aims the maximisation of benefits to Australia arising from publicly funded research. The Administering Organisation should ensure that researchers applying for ARC funding are familiar with the current Intellectual Property and patent landscape for the research areas included in the Proposal. Unless otherwise approved by the Commonwealth, the Administering Organisation's Intellectual Property policy must comply with the *National Principles of Intellectual Property Management for Publicly Funded Research* and/or any successor document/s. These document/s are available on the [ARC website](#).

## **A12.5 Publication and Dissemination of Research Outputs and Research Data**

- A12.5.1 All ARC-funded research Projects must comply with the *ARC Open Access Policy* on the dissemination of research findings, which is on the [ARC website](#). In accordance with this policy, any Research Outputs arising from a Project must be deposited into an open access institutional repository within a 12 month period from the date the Research Output was published or made publicly available. Where this requirement cannot be met, reasons must be provided in the Final Report for the Project. Research Output metadata must be made available in an institutional repository immediately upon publication. The ARC Project ID must be included in the metadata.
- A12.5.2 Researchers and institutions have an obligation to care for and maintain research data in accordance with the *Australian Code for the Responsible Conduct of Research (2007)*. Researchers must outline briefly in their Proposal how they plan to manage research data arising from a Project. The ARC strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository. Where appropriate, the Final Report must outline how data has been made publicly accessible.
- A12.5.3 The ARC strongly encourages all researchers applying for funding to have an ORCID Identifier in their RMS Profile.

## **A12.6 Misconduct, Incomplete or Misleading Information**

- A12.6.1 All ARC-funded research Projects must comply with the *ARC Research Integrity and Research Misconduct Policy*, which is available on the [ARC website](#).
- A12.6.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, or involves misconduct, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- A12.6.3 A decision under A12.6.2 may be made by the ARC at any stage during the assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.
- A12.6.4 Examples of misleading information and misconduct include:
- a. providing fictitious Research Opportunity and Performance Evidence;
  - b. plagiarism;
  - c. making false claims in relation to the authorship of the Proposal;
  - d. failing to make adequate acknowledgement of intellectual, design or other significant contributions to the Proposal;

- e. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);
- f. making false claims in relation to qualifications and/or appointments;
- g. making false certifications; or
- h. failing to disclose to the Administering Organisation 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).

## **A13. Organisation Eligibility Requirements**

### **A13.1 Eligible Organisations**

Academy of the Social Sciences in Australia

Australian Academy of the Humanities

Australian Academy of Science

Australian Academy of Technological Sciences and Engineering

Australian Council of Learned Academies

## **Part B Scheme-specific rules for *Learned Academies Special Projects* for funding commencing in 2017**

### **B1. Interpretation**

Part B contains the scheme-specific rules for *Learned Academies Special Projects* for funding commencing in 2017.

### **B2. Commencement Date**

**B2.1** The Funding Commencement Date for *Learned Academies Special Projects* for funding commencing in 2017 will be 1 July 2017.

**B2.2** The Project Initialisation Date for *Learned Academies Special Projects* for funding commencing in 2017 will be the date that the relevant Project is executed in RMS.

### **B3. Objectives**

#### **B3.1 Scheme Objectives**

**B3.1.1** The objective of *Learned Academies Special Projects* is to support the development of Australian research. *Learned Academies Special Projects* aims to provide the Learned Academies and the Australian Council of Learned Academies with the flexibility to achieve that objective.

**B3.1.2** The broad research program themes for *Learned Academies Special Projects* for funding commencing in 2017 are concerned with, or include:

- a. National and international collaboration in research;
- b. Significant advancement of discipline knowledge and application;
- c. Professional development for early and mid-career researchers;
- d. Interdisciplinary research across the academies, as well as within;
- e. Advancing gender equity and diversity in the research workforce; and
- f. Other areas, as approved in advance of the closing date by the ARC.

**B3.1.3** At least two of the broad themes outlined in B3.1.2 must be met in order for a Proposal to be competitive.

## **B4. Selection Criteria**

### **B4.1 Scheme Selection Criteria**

- B4.1.1 All Proposals which meet the eligibility criteria set out in these Funding Rules will be assessed and merit ranked using the following criteria:
- a. The contribution to the development of Australian research 25%
  - b. Collaborative and/or interdisciplinary approaches to research and research training 15%
  - c. Research and research training in the themes listed at B3.1.2 15%
  - d. The merit of the Proposal in relation to its 15%
    - i. goals and potential outcomes;
    - ii. conceptual framework, design, methods and analyses; and
    - iii. budget justification and value for money.
  - e. The extent to which the Proposal may be expected to have results of broad benefit 15%
  - f. The potential for the research to contribute to issues of national significance. 15%

## **B5. Funding**

### **B5.1 Level and Period of Funding**

- B5.1.1 The minimum level of funding provided by the ARC under *Learned Academies Special Projects* is \$50,000 per year of funding and the maximum is \$500,000 per Project.
- B5.1.2 A Project may be applied for and awarded ARC funding for up to four consecutive years. A Proposal must request ARC funding in as many years of the Project as applicable.
- B5.1.3 Funding for Projects will commence effective of the Funding Commencement Date, unless otherwise determined by the Minister or the ARC. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.

## **Part C Scheme-specific rules for *Supporting Responses to Commonwealth Science Council Priorities***

### **C1. Interpretation**

Part C contains the scheme-specific rules for *Supporting Responses to Commonwealth Science Council Priorities* for funding commencing in 2017, 2018, 2019 or 2020.

### **C2. Commencement Date**

**C2.1** The Funding Commencement Date for *Supporting Responses to Commonwealth Science Council Priorities* will be between 1 July 2017 and 30 June 2021 in response to the Commonwealth Science Council meetings.

**C2.2** The Project Initialisation Date for *Supporting Responses to Commonwealth Science Council Priorities* will be the date that the relevant Project is executed in RMS.

### **C3. Objectives**

#### **C3.1 Scheme Objectives**

C3.1.1 The objective of *Supporting Responses to Commonwealth Science Council Priorities* is to support the development of Australian research in priority areas as set by the Commonwealth Science Council.

C3.1.2 *Supporting Responses to Commonwealth Science Council Priorities* aims to provide the Learned Academies and the Australian Council of Learned Academies with the flexibility to achieve that objective in leveraging existing funding provided by non-ARC sources.

C3.1.3 The broad themes for research programs for *Supporting Responses to Commonwealth Science Council Priorities* are concerned with, or include Research into the priority areas set by the Commonwealth Science Council.

C3.1.4 The research priority areas set by the Commonwealth Science Council are listed on the [Chief Scientist's website](#), and are subject to change.

### **C4. Selection Criteria**

#### **C4.1 Scheme Selection Criteria**

C4.1.1 All Proposals which meet the eligibility criteria set out in these Funding Rules will be assessed and merit ranked using the following criteria:

- a. The potential for the research to contribute to issues of national significance as identified in the Commonwealth Science Council's areas of priority 50%

- b. The merit of the Proposal in relation to its 35%
  - i. goals and potential outcomes;
  - ii. conceptual framework, design, methods and analyses; and
  - iii. budget justification and value for money.
- c. The extent to which the Proposal may be expected to have results of broad benefit. 15%

## **C5. Funding**

### **C5.1 Level and Period of Funding**

- C5.1.1 The minimum level of funding provided by the ARC under *Supporting Responses to Commonwealth Science Council Priorities* is \$50,000 and the maximum is \$400,000 per Project.
- C5.1.2 A Project may be applied for and awarded ARC funding for up to one year.
- C5.1.3 Funding for Projects will commence effective of the Funding Commencement Date, unless otherwise determined by the Minister or the ARC. Any funding awarded will be subject to sufficient funds being available for the Project, the provisions of the ARC Act and continued satisfactory progress of the Project.