



# **LINKAGE— AUSTRALIAN POSTDOCTORAL FELLOWSHIPS (CSIRO)**

Funding Rules for applicants

for funding commencing in

**2003**

# Australian Research Council Linkage—Australian Postdoctoral Fellowships (Commonwealth Scientific and Industrial Research Organisation) Funding Rules for Funding Commencing in 2003

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## Acronyms

The following acronyms are used throughout these Funding Rules.

<b>APD</b>	Australian Postdoctoral Fellowship
<b>APDC</b>	Australian Postdoctoral Fellowship (CSIRO)
<b>APDI</b>	Australian Postdoctoral Fellowship (Industry)
<b>ARC</b>	Australian Research Council
<b>CI</b>	Chief Investigator
<b>CIU</b>	Chief Investigator—University
<b>CIC</b>	Chief Investigator—CSIRO
<b>CSIRO</b>	Commonwealth Scientific and Industrial Research Organisation
<b>EAC</b>	Expert Advisory Committee
<b>GAMS</b>	Grant Application Management System
<b>NCGP</b>	National Competitive Grants Program

Australian Research Council  
Linkage—Australian Postdoctoral Fellowships  
(Commonwealth Scientific and Industrial Research  
Organisation)  
Funding Rules for Funding Commencing in 2003

## 1 INTRODUCTION

The Australian Research Council (ARC) and Commonwealth Scientific and Industrial Research Organisation (CSIRO) have developed a collaborative co-funded program to offer Australian Postdoctoral Fellowships as part of the ARC's National Competitive Grants Program (NCGP).

*Linkage—Australian Postdoctoral Fellowship (Commonwealth Scientific and Industrial Research Organisation) (Linkage—APDC)* encourages enhanced collaboration between CSIRO and the universities. The Program provides a training opportunity which exposes early career researchers to the strategic research framework within which CSIRO operates, as well as the fundamental research framework of university research. The program is co-funded by ARC and CSIRO on a matching basis.

*Linkage—APDC* is a competitive application-based program. Applicants will be collaborative research teams, comprising one APD and at least two Chief Investigators. The research team must comprise at least one Chief Investigator from a university (CIU) and one Chief Investigator from a CSIRO division (CIC). APDCs are tenurable in eligible higher education institutions or CSIRO divisions.

These Funding Rules set out the funding rules under the *Australian Research Council Act 2001* for *Linkage—APDC*. These Funding Rules are written on the basis that it is the researchers who are the applicants. However, funding from the ARC are awarded to organisations, not to the individual researchers or research teams. Universities or CSIRO divisions may be administering institutions for APDCs.

## 2 OBJECTIVES

*Linkage—APDC* aims to encourage and develop long-term, capacity-building, strategic research alliances between universities and CSIRO. The program also aims to:

- strengthen collaboration between universities and CSIRO; and
- provide enhanced training opportunities for early career researchers.

## 3 DESCRIPTION

*Linkage—APDC* offers salaries for postdoctoral researchers working in collaborative teams of researchers from one or more universities and one or more CSIRO divisions. Applications are invited from collaborative teams of researchers from one or more universities and one or more CSIRO divisions. The funding provides the salary and on-costs of the APDC. To ensure that the research to be undertaken by the APDC is adequately funded, applicants must demonstrate that

research project support provided by the institution and/or division, in cash and in-kind, at least matches the APDC fellowship funding.

### 3.1 Types of research supported

*Linkage—APDC* supports excellent research including:

- *pure basic research* which is experimental and theoretical work undertaken to acquire new knowledge without looking for long-term benefits other than the advancement of knowledge.
- *strategic basic research* which is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas that are expected to lead to useful discoveries. It provides the broad base of knowledge necessary to solve recognised practical problems.
- *applied research* which is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives.
- 

### 3.2 Priority Areas

The Minister for Education, Science and Training has designated the following areas of research as priority areas of research for the 2003 funding rounds:

- Nano-materials and Bio-materials
- Genome/Phenome Research
- Complex/Intelligent Systems
- Photon Science and Technology

As the Minister for Education, Science and Training has directed that no less than 33% of total ARC grants in the 2003 funding round be allocated to projects focussing upon a Designated Priority Area of Research, whether the project falls within one of these areas will be a significant factor in assessing applications.

Descriptions of these areas can be found in Appendix 3, and on the ARC web site ([www.arc.gov.au](http://www.arc.gov.au)).

### 3.3 Applicant roles

There are three applicant roles available under *Linkage—APDC*. These are:

- Chief Investigator—University (CIU)
- Chief Investigator—CSIRO (CIC)
- Australian Postdoctoral Fellow—CSIRO (APDC).

The roles and eligibility requirements for each of these are described below. To be eligible for consideration, each application must have at least two Chief Investigators, one from a university and one from CSIRO division, and one APDC applicant.

## 4 ELIGIBILITY

### 4.1 Eligibility criteria for Chief Investigators

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

- He/she must be an active researcher who takes intellectual responsibility for the project, its conception, any strategic decisions called for in its pursuit and the communication of results. The applicant must have the time and capacity to make a serious commitment to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.
- He/she must reside predominantly in Australia for the full term of the funding. If the applicant does not have permanent resident status he/she must obtain temporary resident status from the Department of Immigration, Multicultural Affairs and Indigenous Affairs before taking up the funding.

Notwithstanding his/her eligibility under the criteria above, researchers in the following categories are not eligible to apply as a CI:

- an undergraduate student; or
- a postgraduate student (unless eligible to be a CIU because of employment but only for research which lies outside the scope of the postgraduate studies).

Chief Investigators must have fulfilled all obligations from previous ARC grants (including final and progress reports). Chief Investigators who have not fulfilled all obligations from previous ARC grants are ineligible to apply.

#### 4.1.1 *Eligibility criteria for Chief Investigators—University*

To be eligible to apply as a Chief Investigator—University, the applicant must meet the following criterion: he/she must be associated with, or employed by, an eligible Australian higher education institution. To qualify as associated with, or employed by an institution, the applicant must hold a substantive position at, and/or derive at least 50 per cent of his/her salary from that institution.

“Eligible Australian higher education institutions”, for the purposes of these Funding Rules, are those institutions listed in Appendix 1.

#### 4.1.2 *Eligibility criteria for Chief Investigators—CSIRO*

To be eligible to apply as a Chief Investigator—CSIRO, the applicant must meet the following criterion: he/she must be associated with, or employed by CSIRO. The applicant must hold a substantive position at, and/or derive at least 50 per cent of his/her salary from CSIRO.

### 4.2 Eligibility criteria for APDC Fellowships

Australian and overseas researchers may apply for an APDC to commence in 2003 if:

- they have been awarded a PhD since 1 March 1999, or
- they have not yet submitted their PhD thesis but are due to do so before the end of 2002.

If an APDC offer is made, it will be contingent upon receiving official confirmation that the thesis has been submitted by 31 December 2002. An APDC cannot be taken up until formal advice is received that the PhD thesis has been accepted, within a maximum time limit of six

months, that is, by 30 June 2003. If these conditions have not been satisfied, the offer will be withdrawn.

Preference may be given to Australian citizens and permanent residents. Overseas applicants will need to demonstrate a higher level of performance than their competitors or be able to offer special expertise, extensive skills or exceptionally high performance levels not available locally, and of benefit to Australian research.

An APDC, must reside predominantly in Australia for the full term of the award. If the applicant does not have permanent resident status he/she must obtain temporary resident status from the Department of Immigration, Multicultural Affairs and Indigenous Affairs before taking up the award.

An APDC (or an Australian Postdoctoral Fellowship awarded under Discovery—Projects or Linkage—Projects or the earlier ARC Fellowships or SPIRT programs) may only be awarded to an applicant once.

#### 4.2.1 *Request for eligibility exemption*

In some circumstances, an applicant who is seeking a *Linkage—APDC* may not satisfy all the required eligibility criteria due to research career interruption. Career interruptions could include, for example, non-research employment, misadventure or carer responsibilities. If this is the case, an applicant must apply for an exemption from the eligibility criteria.

If the applicant does require an eligibility exemption, a request must be lodged in writing, through the institution's Research Office, or the administering organisation's equivalent office, with the Director, Program Management Section, at the ARC by [DATE]. The eligibility exemption request must include a statement justifying the applicant's special circumstances for an eligibility exemption. The applicant will be advised of the decision as soon as possible to allow time for a detailed application to be completed.

#### 4.2.2 *Tenure details and support entitlements*

APDCs are available only on a full time basis.

APDCs must commence in the first year of the award. The ARC notional salary rates for Fellowships are set out in Appendix 2.

Tenure will be continued, provided the ARC receives satisfactory annual progress reports, but will not be extended.

APDCs are available only in eligible higher education institutions or CSIRO divisions. If the administering institution is an eligible higher education institution, the Chief Investigator—University will be the first-named CI on the application and will normally be the direct supervisor of the APDC. If the administering institution is a CSIRO division, the Chief Investigator—CSIRO will be the first-named CI on the application and will normally be the direct supervisor of the APDC.

### 4.3 Number of awards and applications

The following limits apply to funds awarded under the *Linkage—APDC* program:

- every application must have one APDC and at least one Chief Investigator—University and one Chief Investigator—CSIRO;
- a researcher may not hold more than one *Linkage—APDC* awards on which he/she is Chief Investigator;



- applicants may apply for *Linkage—APDC* awards only to the extent that, if successful, they would not exceed the maximum number of awards they may hold in 2003.

Submitting initial applications that contravene the above limits will result in the automatic exclusion of all applications involving that applicant as a CI or APDC.

Only one application to *Linkage—APDC* may be submitted in respect of a single project in the same year, regardless of any variation in the applicants and/or proposed administering institution. Submitting similar or duplicate applications will result in automatic exclusion of all applications involving those applicants. The ARC reserves the right to determine whether applications are duplicates or sufficiently similar to warrant exclusion.

## 5 FUNDING

### 5.1 Level of funding

The funding provides the salary and on-costs of the APDC. To ensure that the research to be undertaken by the APDC is adequately funded, applicants must demonstrate that research project support provided by the institution and/or division, in cash and in-kind, at least matches the APDC fellowship funding.

The ARC notional salary for APDC and notional allowance for salary plus on costs is set out in Appendix 2.

### 5.2 Duration of Funding

APDC fellowships have a standard duration of three years.

### 5.3 Areas of investigation/work not supported

*Linkage—APDC* does **not** support the following:

- compilation of data, unless the compilation is an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which the data would contribute;
- development of research aids and tools (including computer programs), unless they form an integral part of a project, in which case applicants must provide a statement indicating the research objectives to which these activities would contribute;
- projects that, in the judgement of the ARC, do not significantly strengthen collaboration between universities and CSIRO;
- additional funding of existing projects previously funded by the Commonwealth under an ARC scheme;
- projects already funded by an ARC centre or a Cooperative Research Centre (CRC), or which should reasonably be expected to be funded by the Centre given its core business. The ARC reserves the right to make the final decision on whether a proposal is outside the core business of the centre.

### 5.4 Budget items not supported

*Linkage—APDC* does **not** support the following budget items:

- *Salaries of Chief Investigators*

The Commonwealth will not provide support, in whole or in part, to meet the salaries of Chief Investigators under *Linkage—APDC*.

- *Basic facilities*

The host institution must certify its agreement to provide the following basic facilities, which will not be funded under *Linkage—APDC*:

- accommodation (eg. laboratory and office, suitably equipped and furnished in standard ways);
- access to workshop services (eg machine tools and qualified technicians available to each member of staff, according to need, for research);
- access to a basic library collection;
- adequate computing time (excluding access to high-performance computers);
- standard reference materials or funds for abstracting services;
- basic computing, word processing and microfilm reading facilities;
- use of photocopiers, telephones, mail, fax, email and internet services.

- *Publication costs*

Publication costs, including page costs, are not funded under *Linkage—APDC*.

## 6 APPLICATION PROCESS

### 6.1 Applications

As the application is the prime source of information available to the selection committee, applicants must submit their projects as mature research plans ready for implementation. The application must contain all the information necessary for assessment of the project without the need for further written or oral explanation, or reference to additional documentation, including the World Wide Web, unless requested by the selection committee. All details in the application, particularly concerning any successful awards, must be current.

### 6.2 Certification

It is the responsibility of the administering institution to obtain signatures of all participants named at Part B of the application form.

These signatures are to be retained by the administering institution who must provide these certifications if requested. A proforma is available for this purpose on the ARC web site ([www.arc.gov.au](http://www.arc.gov.au)).

### 6.3 Submission of applications

Applications under *Linkage—APDC* consist of two parts:

- |   |                  |   |
|---|------------------|---|
| 1 | Application form | to be completed in Grant Application Management System (GAMS)   |
| 2 | Additional text  | <p>Section B10 ‘Research Record Relative To Opportunities’;<br/>         Part D, ‘Project Description’.<br/>         If applicable, add supporting documentation:<br/>         Section A7.2, ‘additional detail’ for any participants associated with an ARC-funded Centre<br/>         Section C2, ‘reports on ARC grants’</p> |

### 6.3.1 *Application format*

All documents must be written in English and must comply strictly with the format and submission requirements.

All pages should be 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 2 cm margins on each side. As applications are scanned electronically, applicants must use a highly-legible font type, such as Arial, Courier, Palatino, Times New Roman or Helvetica. Variants such as mathematical typesetting languages may also be used. References may be reproduced in 10 point font size. Colour graphs or colour photographs may be included but they will be reproduced in black and white.

### 6.3.2 *Application form and instructions to applicants*

The application form is produced by the ARC's web-based GAMS at [www.arc.gov.au](http://www.arc.gov.au).

Applicants should note that a separate document, *Linkage—APDC Instructions to Applicants for Funding Commencing in 2003*, is available from [www.arc.gov.au](http://www.arc.gov.au) to assist in preparing applications.

### 6.3.3 *Number of copies*

An original and **one identical** hard copy only are required. The application must be clipped with NAL clips, not stapled. The application form should be submitted with the additional text, including supporting documentation, interleaved appropriately and the pages numbered appropriately (see *Linkage—APDC Instructions to Applicants for Funding Commencing in 2003*).

### 6.3.4 *Closing date for applications*

Paper originals of the applications for *Linkage—APDC* must be received by the ARC, and the application form completed using GAMS must be submitted by close of business (AEST) [DATE]. Applications may be withdrawn but may not be changed after submission. Additions, deletions and modifications will not be accepted after submission. Applications received after close of business 5pm (AEST) [DATE] will not be accepted.

### 6.3.5 *How to complete and submit applications*

*Linkage—APDC* application forms are produced using the ARC's web-based GAMS.

Applicants applying through a university should submit their applications through the Research Office by the university's closing date. University Research Offices have access to GAMS and will allocate GAMS UserIDs and passwords to enable applicants at their university to access the system and create application forms. If an applicant has previously been allocated access to GAMS, his/her UserID and password should still be current.

Applicants applying through CSIRO should complete their application forms using GAMS. CSIRO Divisions should identify a GAMS Contact who should contact the ARC directly. The ARC will assist the GAMS Contact to gain access to the system and to create applications.

University Research Offices and CSIRO divisions should submit the application form in GAMS and forward the full paper application. Applicants who require an alternative means to

submitting the form on-line should contact their university's Research Office or the CSIRO Division GAMS Contact.

Applications should be sent to—

by **mail**, to

Co-ordinator  
Linkage—APD CSIRO  
Disciplines and Programs Branch  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

by **courier**, to

Co-ordinator  
Linkage—APD CSIRO  
Disciplines and Programs Branch  
Australian Research Council  
Geoscience Australia Building  
(formerly AGSO Building)  
cnr Jerrabomberra Ave and Hindmarsh  
Drive  
SYMONSTON ACT 2609

## 7 SELECTION AND APPROVAL PROCESS

### 7.1 Selection criteria

The primary assessment criteria for projects are:

- Research environment, including the research collaboration (10%)
- Research team (20%)
- APDC Fellowship applicant (30%)
- Project content (40%)

#### **Research environment**

- strength of the research environment in providing mentoring and training for APDC
- potential value of the research collaboration

#### **Research team**

- Chief Investigators' track records relative to opportunities
- strength of the research team, including the time and capacity of the CIs to make a serious commitment to the project

#### **APDC Fellowship applicant**

- track record relative to opportunities
- contribution to the project

## Project Content

### *Significance and innovation*

- does the research address an important problem?
- how will the anticipated outcomes advance the knowledge base of the discipline?
- is the research principally focussed upon a topic or outcome that falls within one of the Designated Priority Areas of Research (listed in Appendix 3), and if so how does it address the Designated Priority Area of Research?
- are the project aims and concepts novel and innovative?
- will new methodologies or technologies be developed?

### *Approach*

- are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the project?

### *National benefit*

- what is the potential of the research project to result in economic and/or social benefits for Australia from the expected results and outcomes of the project?
- what is the potential for the research to contribute to the Designated Priority Areas of Research?

## 7.2 Assessment and selection procedure

Assessment of applications is undertaken by a selection committee comprising members of the ARC's Expert Advisory Committees, which have the right to make decisions solely on the basis of their expertise, and which may:

- exclude ineligible applications;
- assign independent readers/assessors to review the applications;
- seek applicants' comments on assessors' reports;
- rank each application relative to the others on the basis of the application, the assessors' reports and applicants' response to these assessments;
- assess and recommend budgets; and/or
- prepare funding recommendations that are submitted to the ARC Board for endorsement and then to the Minister for approval.

The ARC has procedures for declaring conflicts of interest and for members to withdraw from considering particular applications.

### 7.2.1 *Assessment process*

#### 7.2.1.1 *Exclusion*

Exclusion of ineligible applications by the selection committee may take place at any time during the selection process. Every effort will be made to exclude ineligible applications and inform applicants early in the assessment process. Applications which contravene the Funding Rules in any way will be excluded. Grounds for exclusion include:

- failing to submit the application through the appropriate Research Office/Chief Executive Officer for certification;

- not meeting the eligibility criteria for a Chief Investigator;
- exceeding the limits on the number of applications permissible;
- providing incomplete or misleading information; and
- designating the application as ‘commercial-in-confidence’.

#### 7.2.1.2 *Assignment of assessors*

Each application not initially excluded will be assigned to two Australian-based readers who will be asked to read and rank assigned applications. Readers for each discipline grouping will be drawn from a range of institutions to avoid potential conflicts of interest. Each application will also be assigned to one or more expert assessors of international standing. The assessors will be asked to assess the application against the selection criteria and their reports must include written comment.

Although an effort will be made to obtain three assessments, the ARC reserves the right to make decisions based on any number of assessments or solely on the expert assessment of the selection committee.

Applicants may name any person whom they do not wish to assess the application. Detailed written justification, which will be considered by the relevant Expert Advisory Committee, must be submitted through the institution’s research office, in a separate letter, and it **must not** accompany the application. The letter must be received before the closing date for applications and be sent to

Co-ordinator  
Linkage—APD CSIRO  
Disciplines and Programs Branch  
Australian Research Council  
GPO Box 2702  
CANBERRA ACT 2601

The selection committee will consider the justification put forward by an applicant to exclude any person as an assessor. However, the committee reserves to itself the discretion not to give effect to an applicant’s request.

#### 7.2.1.3 *Applicant rejoinder*

The readers and assessors’ textual comments will be provided to the administering organisation, allowing the opportunity for a one-page rejoinder to the comments. To ensure impartiality, the readers and assessors’ names are not provided to the applicant. At the same time, the selection committee may add questions to the assessments sent to the applicants for rejoinder. Applicants have 10 working days in which to submit a response to the ARC.

#### 7.2.1.4 *Recommendations*

The selection committee may make final checks on eligibility. The committee ranks each application relative to the others on the basis of the application, the readers and assessors’ reports and the applicant’s rejoinders to these assessments. The committee’s recommendations are submitted to the ARC Board.

### 7.2.1.5 Ministerial approval

A recommendation from the ARC Board is sent to the Minister for his/her consideration. The Minister determines which applications will be offered funding.

## 7.3 Offer of funding

The successful administering institution will be notified in a letter of offer that will indicate the funding to be provided and will include any special conditions.

A Fellowship may not begin, nor funds be expended, until the administering institution and each collaborating institution have entered into a written agreement, a copy of which must be forwarded to the ARC. The agreement must cover the role of the Institutions in the project including:

- contributions by the institutions;
- payment of salaries for ARC Fellows;
- intellectual property arrangements which comply with the National Principles of Intellectual Property Management for Publicly Funded Research; and
- an undertaking by the institutions to abide by the terms of the Funding Contract.

### 7.3.1 Funding Contract

Applicants should familiarise themselves with the Funding Contract. This will be available on the ARC website ([www.arc.gov.au](http://www.arc.gov.au)).

The recipient must accept the terms of the Funding Contract and the administering institution must sign the Funding Contract before payments can be made.

### 7.3.2 Commencement of projects

Projects must be commenced by 31 August in the first year of the funding. Failure to do so will result in termination of funding.

## 8 APPEALS PROCESS

Appeals will be considered only against process issues and not against committee decisions or assessor ratings and comments. Appeals must be made on the appeals form available from the ARC website ([www.arc.gov.au](http://www.arc.gov.au)).

The form must be lodged through the institution's Research Office or CSIRO Division GAMS Contact and be received, **within 28 days** of the date on the letter notifying the outcome of applications, to:

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

## 9 FUNDING ADMINISTRATION

### 9.1 Funding Contract

Administering organisations should note that the Funding Contract and post-award management cover the following matters.

#### 9.1.1 Reporting requirements

Institutions are required to submit these documents to the ARC:

- *Exceptions Report* on funding that have financial exceptions, by 1 November in the calendar year for which they were awarded
- *End-of-year Report* on the expenditure of funds, by 31 March in the year following the calendar year for which they were awarded, for each year of the funding period
- *Progress Report* on the project, by 31 March in the year following the calendar year for which funds were awarded
- *Final Report* on the project, within six months of the completion of the funding
- *Audited Financial Statement*, by a qualified auditor, as set out in *Section 58(2)* of the *Australian Research Council Act 2001*, by 30 June of the year following the year of the funding, for each year of the funding period. An *Audited Financial Statement* is required for the entire grant at the end of the funding period, preferably accompanying the *Final Report*.

The ARC reserves the right to suspend payment of further instalments of any current funding until the appropriate reports have been received and assessed as satisfactory.

#### 9.1.1.1 Failure to provide reports

Where an institution fails to submit satisfactory reports, as required, the Minister may determine that funds have not been used in accordance with conditions applicable to the funding, and that all or part of the funding must be repaid. In this case, the ARC may withhold the remainder of the institution's payments under the Program for the current year and/or initiate recovery of funds.

#### 9.1.2 Varying the Conditions of Funding

Requests to vary the Funding Contract must be forwarded in writing by the institution's Research Office, or equivalent, to the ARC.

### 9.2 Financial management — payments

*Linkage—APDC* operates on a calendar year basis. Subject to appropriations, payment of funds will be made to institutions in regular instalments, in accordance with approved payment arrangements made under the *Australian Research Council Act 2001*. Funds must be used only for purposes approved under *Linkage—APDC*, otherwise they must be returned through the usual payments system.



### 9.3 Privacy of individuals

#### 9.3.1 *The Privacy Act 1988*

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. (See Appendix 4)

Persons, bodies and organisations involved in the *Linkage – Australian Postdoctoral Fellowships (CSIRO)* are requested by the ARC and may be required by contract to abide by the IPPs and the *Privacy Act 1988* when handling personal information collected for the purposes of that scheme. In brief, persons, bodies and organisations 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; and
- personal information is only disclosed in accordance with IPP 11.

#### 9.3.2 *Privacy Complaints and Advice*

Complaints about breaches of privacy and requests for advice about privacy should be referred to the Executive Director, ARC Corporate Branch. Privacy complaints can be made directly to the Federal Privacy Commissioner, however the Federal Privacy Commissioner prefers that the ARC be given an opportunity to deal with the complaint in the first instance.

### 9.4 Freedom of Information

All documents created or held by the ARC are subject to the *Freedom of Information Act 1982*. Unless a document falls under an exemption provision, it will be made available to the general public if requested under the *Freedom of Information Act 1982*.

All FOI requests are to be referred the Executive Director, ARC Corporate Branch. Decisions regarding requests for access will be made by the authorised officer in accordance with the requirements of the *Freedom of Information Act 1982*.

### 9.5 Confidentiality

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

## 9.6 Intellectual property

Applicants must agree to comply with the intellectual property statute of the administering organisation and with the National Principles of Intellectual Property Management for Publicly Funded Research (available at [www.arc.gov.au](http://www.arc.gov.au)).

## 9.7 Incomplete or misleading information

It is a serious offence to provide false or misleading information. If an application is incomplete or contains information that is considered misleading, it will be excluded from any further consideration for funding.

If the ARC believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the ARC will refer the matter investigation with a view to prosecution under Commonwealth criminal law and / or recovery of funds paid. The Commonwealth Government is committed to protecting its revenue, expenditure and property from any attempt, either by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees to gain financial or other benefits by deceit.

Examples of malpractice include, but are not restricted to—

- providing fictitious track records
- falsifying claims in publications records (such as describing a paper as accepted for publication when it has only been submitted).

Grantees will be required to provide access to their premises, books of account and relevant documentation to nominated officers of the ARC or DEST where there may be suspected breaches of criminal law and to the Australian National Audit Office (ANAO) in respect of the ANAO's statutory responsibilities.

## 9.8 Contact points

For further information, the institution's Research Office or CSIRO Division GAMS Contact should be contacted in the first instance.

Enquiries about *Linkage—APDC* may be addressed to—

Co-ordinator  
 Linkage—APD CSIRO  
 Disciplines and Programs Branch  
 GPO Box 2702  
 CANBERRA ACT 2601  
 Email: [ngcp@arc.gov.au](mailto:ngcp@arc.gov.au)  
 Phone: 02 6284 6600  
 Fax: 02 6284 6638  
 Web [www.arc.gov.au](http://www.arc.gov.au)

**APPENDIX 1: ELIGIBLE HIGHER EDUCATION INSTITUTIONS**

Higher education institutions receiving Commonwealth funding on a triennial basis

**New South Wales**

Charles Sturt University  
 Macquarie University  
 Southern Cross University  
 The University of New England  
 The University of New South Wales  
 The University of Newcastle  
 The University of Sydney  
 University of Technology, Sydney  
 University of Western Sydney  
 University of Wollongong

**Western Australia**

Curtin University of Technology  
 Edith Cowan University  
 Murdoch University  
 The University of Notre Dame Australia  
 The University of Western Australia

**South Australia**

The Flinders University of South Australia  
 The University of Adelaide  
 University of South Australia

**Victoria**

Deakin University  
 La Trobe University  
 Melbourne College of Divinity  
 Monash University  
 RMIT University  
 Swinburne University of Technology  
 The University of Melbourne  
 Victoria University  
 University of Ballarat

**Tasmania**

Australian Maritime College  
 University of Tasmania

**Northern Territory**

Northern Territory University  
 Batchelor College

**Queensland**

Bond University  
 Central Queensland University  
 Griffith University  
 James Cook University  
 Queensland University of Technology  
 The University of Queensland  
 University of Southern Queensland  
 The University of the Sunshine Coast

**Australian Capital Territory**

The Australian National University  
 University of Canberra

**Multi-State**

Australian Catholic University

**APPENDIX 2: ARC NOTIONAL FELLOWSHIP SALARIES****2003 Salaries**

Australian Postdoctoral Fellowships-CSIRO (APDC)

**Salary Scale\***

\$49,974

**Salary + 26% on-costs**

\$62,967

\* salary scales and stipends will be indexed to 2003 dollars for successful applications

**2003 ARC Fellows Relocation (maximum) Allowances**

USA	\$15,000
UK/Europe/Asia (Nth Hem)	\$12,000
Asia (Sth Hem)/NZ	\$ 9,000
Australia	\$ 6,000

## APPENDIX 3: DESCRIPTIONS OF DESIGNATED PRIORITY AREAS OF RESEARCH

### Nano-Materials and Bio-Materials

The development of advanced techniques in materials science and in biotechnology underpins progress and growth in almost every area of industrial and economic activity. The marriage of biotechnology and materials science promises exciting research opportunities, with enormous potential for economic, social and environmental applications and impact.

Biotechnology promises to revolutionise our approaches in areas such as medicine, microbiology and agriculture. Reconstitution of molecular motors, DNA and DNA-protein recognition systems, bio-membranes, and the reconstruction of extracellular and intracellular matrixes, are likely to form the basis of new generation biosensors, bio-inspired materials, high throughput screening systems, chloroplast-like energy transduction systems, and tissue reconstruction procedures.

Materials such as metals, ceramics, polymers, composite materials and natural products are used in a wide range of sectors, such as manufacturing, construction, infrastructure, communications, transport, agriculture and medicine. The ability to ‘tailor’ material properties at scales near to those of individual atoms and molecules promises to allow the production of materials with novel mechanical, thermal, chemical and surface properties, and with vastly improved performance compared to conventional materials. As well, the ability to form nano-scale assemblies of atoms and molecules is vital to advances in computing, drug design, chemical processing and synthesis, and sensor development.

Australia has extensive existing research strengths both in advanced materials science and in biotechnology. Priority funded research into nano-materials and bio-materials would build on this existing base, in these areas of internationally recognised importance, and would lead to:

- higher performance levels, and hence greater materials utilisation efficiency, to improve product performance and conserve natural resources;
- improved cost-effectiveness and value-added use of materials through advanced manufacturing;
- the development of novel devices, sensors, and techniques for medical, biochemical, industrial and environmental applications; and
- revolutionary new ways to produce implants for medical applications, and the ‘production’ of replacement organs.

### The Genome-Phenome Link

The complete description of the human genome and those of other organisms has been a major achievement of modern science. There is a heightened expectation that gene therapies and the genetic improvement of plants and animals of agricultural importance by gene transfer will lead,

among other things, to the eradication of inherited disease and to a solution to the world's food problems. However, the connection between an organism's genes (its genome) and its physical appearance and behaviour (its phenotype) is exceptionally complex and, at present, highly elusive. The growth and differentiation of cells and an organism's predisposition to disease can be controlled by multigene clusters and fine control of the gene expression mechanisms. Although molecular biologists have been very successful in identifying and manipulating genes, the control of gene expression and the interactions of gene products which lead ultimately to the expression of a unique phenotype are poorly understood.

The reductionist approaches of molecular biologists have often focused on the analysis of bimolecular systems (protein-protein, protein-DNA, protein lipid). Although it has been revealing to understand these interactions, the reactions that lead to the expression of a unique phenotype are infinitely more complex. Nevertheless, molecular genetics coupled with the use of modern technologies based on microchip gene arrays and high through-put and high sensitivity screening are allowing scientists to experimentally access these complex systems and to describe the way in which environmental and genetic factors cooperate positively or negatively to determine the final phenotype.

The post-genomic era will see an increasing focus on the nature of the link between the genome and phenome. Molecular biologists will continue to describe DNA sequences, but there will be an increasing need for biologists who understand not only molecular genetics but also the behaviour of the whole cell, the whole tissue and the whole organism. The problem requires a team approach and the collaboration of molecular biologists, cell biologists, physiologists and biophysicists.

Key areas of study include:

- Genomics and bioinformatics;
- cell differentiation;
- control of gene expression;
- cell signalling pathways;
- energy transduction;
- multigene control of the phenotype traits; and
- identification of quality and disease resistance genes in plants and farm animals.

## **Complex Systems**

Real-world systems are almost always made up of a large number of components that interact in varying and complex ways. This leads to complex behaviour that is difficult to understand, predict and manage. Research into the characterisation and control of such systems attempts to describe them in explicit (often mathematical) ways, in order to provide enhanced degrees of understanding, predictability, control and efficiency in management.

Very simple control systems include the thermostat that controls the temperature of a hot water system, or a street light that comes on at dusk. Much more complex systems which benefit from the application of research into control and system characterisation include the Internet, air traffic control, irrigation, robotics and a wide array of systems associated with power distribution, telecommunications, defence, manufacturing, transport and finance, as well as ecological and biological systems.

Complex systems are modelled and control strategies implemented by mathematicians, computer scientists, information scientists, engineers and other scientists from a broad range of disciplines.

Relevant areas of research include:

- system analysis and control theory;
- mathematical and statistical modelling;
- system and software engineering;
- software-hardware co-design;
- intelligent systems, and
- communications engineering.

## **Photon Science and Technology**

Photon Science and Technology is one of the major growth areas of modern science and technology. Unexpected discoveries in basic photon science, new applications that penetrate many disciplines very swiftly, and very rapid idea-to-market cycles characterise the field. Australia has exceptional quality and some considerable breadth and depth in photon science research, with a demonstrated capacity to found and grow commercial ventures.

Photon Science and Technology includes:

- modern areas such as:
  - laser science and applications;
  - optical fibres and communication systems;
  - photonics, linking photon science and electronics;
  - materials characterisation by synchrotron and other X-ray sources; and
  - atom optics and quantum computing; and
- traditional areas such as:
  - optical materials and components including astronomical instrumentation;

- solar energy conversion (for example silicon photovoltaics and artificial photosynthesis);
- photometry and spectroscopy; and
- human vision.



## **APPENDIX 4: INFORMATION PRIVACY PRINCIPLES**

### **Principle 1 - Manner and purpose of collection of personal information**

1. Personal information shall not be collected by a collector for inclusion in a record or in a generally available publication unless:

(a) the information is collected for a purpose that is a lawful purpose directly related to a function or activity of the collector; and

(b) the collection of the information is necessary for or directly related to that purpose.

2. Personal information shall not be collected by a collector by unlawful or unfair means.

### **Principle 2 - Solicitation of personal information from individual concerned**

Where:

(a) a collector collects personal information for inclusion in a record or in a generally available publication; and

(b) the information is solicited by the collector from the individual concerned;

the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, before the information is collected or, if that is not practicable, as soon as practicable after the information is collected, the individual concerned is generally aware of:

(c) the purpose for which the information is being collected;

(d) if the collection of the information is authorised or required by or under law—the fact that the collection of the information is so authorised or required; and

(e) any person to whom, or any body or agency to which, it is the collector's usual practice to disclose personal information of the kind so collected, and (if known by the collector) any person to whom, or any body or agency to which, it is the usual practice of that first-mentioned person, body or agency to pass on that information.

### **Principle 3 - Solicitation of personal information generally**

Where:

(a) a collector collects personal information for inclusion in a record or in a generally available publication; and

(b) the information is solicited by the collector;

the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is collected:

(c) the information collected is relevant to that purpose and is up to date and complete; and

(d) the collection of the information does not intrude to an unreasonable extent upon the personal affairs of the individual concerned.

### **Principle 4 - Storage and security of personal information**

A record-keeper who has possession or control of a record that contains personal information shall ensure:

- (a) that the record is protected, by such security safeguards as it is reasonable in the circumstances to take, against loss, against unauthorised access, use, modification or disclosure, and against other misuse; and
- (b) that if it is necessary for the record to be given to a person in connection with the provision of a service to the record-keeper, everything reasonably within the power of the record-keeper is done to prevent unauthorised use or disclosure of information contained in the record.

### **Principle 5 - Information relating to records kept by record-keeper**

1. A record-keeper who has possession or control of records that contain personal information shall, subject to clause 2 of this Principle, take such steps as are, in the circumstances, reasonable to enable any person to ascertain:

(a) whether the record-keeper has possession or control of any records that contain personal information; and

(b) if the record-keeper has possession or control of a record that contains such information:

(i) the nature of that information;

(ii) the main purposes for which that information is used; and

(iii) the steps that the person should take if the person wishes to obtain access to the record.

2. A record-keeper is not required under clause 1 of this Principle to give a person information if the record-keeper is required or authorised to refuse to give that information to the person under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

3. A record-keeper shall maintain a record setting out:

(a) the nature of the records of personal information kept by or on behalf of the record-keeper;

(b) the purpose for which each type of record is kept;

(c) the classes of individuals about whom records are kept;

(d) the period for which each type of record is kept;

(e) the persons who are entitled to have access to personal information contained in the records and the conditions under which they are entitled to have that access; and

(f) the steps that should be taken by persons wishing to obtain access to that information.

4. A record-keeper shall:

(a) make the record maintained under clause 3 of this Principle available for inspection by members of the public; and

(b) give the Commissioner, in the month of June in each year, a copy of the record so maintained.

### **Principle 6 - Access to records containing personal information**

Where a record-keeper has possession or control of a record that contains personal information, the individual concerned shall be entitled to have access to that record, except to the extent that the record-keeper is required or authorised to refuse to provide the individual with access to that record under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

**Principle 7 - Alteration of records containing personal information**

1. A record-keeper who has possession or control of a record that contains personal information shall take such steps (if any), by way of making appropriate corrections, deletions and additions as are, in the circumstances, reasonable to ensure that the record:

(a) is accurate; and

(b) is, having regard to the purpose for which the information was collected or is to be used and to any purpose that is directly related to that purpose, relevant, up to date, complete and not misleading.

2. The obligation imposed on a record-keeper by clause 1 is subject to any applicable limitation in a law of the Commonwealth that provides a right to require the correction or amendment of documents.

3. Where:

(a) the record-keeper of a record containing personal information is not willing to amend that record, by making a correction, deletion or addition, in accordance with a request by the individual concerned; and

(b) no decision or recommendation to the effect that the record should be amended wholly or partly in accordance with that request has been made under the applicable provisions of a law of the Commonwealth;

the record-keeper shall, if so requested by the individual concerned, take such steps (if any) as are reasonable in the circumstances to attach to the record any statement provided by that individual of the correction, deletion or addition sought.

**Principle 8 - Record-keeper to check accuracy etc. of personal information before use**

A record-keeper who has possession or control of a record that contains personal information shall not use that information without taking such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is proposed to be used, the information is accurate, up to date and complete.

**Principle 9 - Personal information to be used only for relevant purposes**

A record-keeper who has possession or control of a record that contains personal information shall not use the information except for a purpose to which the information is relevant.

**Principle 10 - Limits on use of personal information**

1. A record-keeper who has possession or control of a record that contains personal information that was obtained for a particular purpose shall not use the information for any other purpose unless:

(a) the individual concerned has consented to use of the information for that other purpose;

(b) the record-keeper believes on reasonable grounds that use of the information for that other purpose is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person;

(c) use of the information for that other purpose is required or authorised by or under law;

(d) use of the information for that other purpose is reasonably necessary for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue; or

- (e) the purpose for which the information is used is directly related to the purpose for which the information was obtained.
- 2. Where personal information is used for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue, the record-keeper shall include in the record containing that information a note of that use.

**Principle 11 - Limits on disclosure of personal information**

- 1. A record-keeper who has possession or control of a record that contains personal information shall not disclose the information to a person, body or agency (other than the individual concerned) unless:
  - (a) the individual concerned is reasonably likely to have been aware, or made aware under Principle 2, that information of that kind is usually passed to that person, body or agency;
  - (b) the individual concerned has consented to the disclosure;
  - (c) the record-keeper believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;
  - (d) the disclosure is required or authorised by or under law; or
  - (e) the disclosure is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue.
- 2. Where personal information is disclosed for the purposes of enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the purpose of the protection of the public revenue, the record-keeper shall include in the record containing that information a note of the disclosure.
- 3. A person, body or agency to whom personal information is disclosed under clause 1 of this Principle shall not use or disclose the information for a purpose other than the purpose for which the information was given to the person, body or agency.