



Australian Government

Australian Research Council

Funding Rules for schemes under the Discovery Programme (2016 edition)

- ***Australian Laureate Fellowships*** for funding commencing in 2017
- ***Future Fellowships*** for funding commencing in 2017
- ***Discovery Early Career Researcher Award*** for funding commencing in 2018
- ***Discovery Indigenous*** for funding commencing in 2018
- ***Discovery Projects*** for funding commencing in 2018

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 7 September 2016

Simon Birmingham
Minister for Education and Training

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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 Research Office within 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.

Part A General rules for schemes under the Discovery Programme

A1. Name of Funding Rules

These Funding Rules are the Australian Research Council *Funding Rules for schemes under the Discovery Programme (2016 edition)*

- *Australian Laureate Fellowships* for funding commencing in 2017
- *Future Fellowships* for funding commencing in 2017
- *Discovery Early Career Researcher Award* for funding commencing in 2018
- *Discovery Indigenous* for funding commencing in 2018
- *Discovery Projects* for funding commencing in 2018

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

ARC website is www.arc.gov.au

Award of PhD Date means the date of conferral of a PhD, not the date of submission of the thesis, nor the date the thesis was accepted by the examination board.

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.

Candidate means a researcher nominated in a Proposal for an ARC Fellowship or ARC Award.

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

Commonwealth means the Commonwealth of Australia.

Conflict of Interest means any conflict 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](#).

Consultancy means the provision of specialist advice, analysis, assistance, services or products to another organisation(s), generally where the consultancy services are for the sole or preferred use of that other organisation(s).

Discovery Programme refers to, for the purposes of eligibility, the schemes funded under the Discovery Programme of the NCGP which consist of: *Australian Laureate Fellowships*, *Discovery Early Career Researcher Award*, *Discovery Indigenous*, *Discovery Projects*, and *Future Fellowships* and other schemes as updated from time to time.

Eligible Organisation means an organisation listed in A12.

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 to F of these Funding Rules.

GrantConnect means the central information system for all Commonwealth grants awarded and is found at 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.

Medical Research means 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 Programme*.

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, www.orcid.org.

Partner Investigator (PI) means a researcher who satisfies the eligibility criteria for a PI under these Funding Rules.

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.

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

Recipient means an individual that has received funding for an ARC Fellowship, ARC Award or Project under the Discovery or Linkage Programmes.

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”¹.

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 Office means a business unit within an Administering Organisation that is responsible for administrative contact with the ARC regarding Proposals and Projects.

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/or 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 mean 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.

Additional scheme-specific definitions are detailed in Parts B-F of these Funding Rules.

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

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 Discovery Programme of the NCGP. The Discovery Programme supports the growth of Australia's research and innovation capacity, which generates new knowledge resulting in the development of new technologies, products and ideas, the creation of jobs, economic growth and an enhanced quality of life in Australia.
- A4.1.3 The Discovery Programme aims to deliver outcomes of benefit to Australia and build Australia's research capacity through support for:
- a. excellent, internationally competitive research by individuals and teams
 - b. research training and career opportunities for the best Australian and international researchers
 - c. international collaboration
 - d. research in priority areas.
- A4.1.4 The Discovery Programme schemes provide funding to Administering Organisations to support research Projects.
- A4.1.5 Discovery Programme 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 NCGP.
- A4.1.7 The Key Performance Indicators (KPIs) for the Discovery Programme 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 Parts B to F.

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 A3 of these Funding Rules, the Discovery Programme does not support production of:
- a. compilation of data, computer programs, research aids and tools

- b. descriptive data compilations, catalogues or bibliographies
 - c. teaching materials.
- A4.3.2 The Discovery Programme 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 level and period of funding as well as details on supported budget items for each of the schemes under the Discovery Programme are outlined in these Funding Rules.
- A5.1.3 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.
- A5.1.4 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.
- A5.1.5 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.
- A5.1.6 The Proposal must list all current funding and requested funding for each participant under any ARC scheme and any other Commonwealth funding scheme.
- A5.1.7 The Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

A5.2 Budget Items Supported

- A5.2.1 Budget items that directly support a research programme may be funded from Project funding, 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)
 - 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. personnel: for example; postdoctoral research associates, research assistants, technicians and laboratory attendants. Salary support must be requested at an appropriate salary level for the Administering Organisation, including 30 per cent on-costs. Where the scheme-specific Parts of these rules contain a specified salary level, only funding up to this level may be requested from the ARC
 - g. Higher Degree by Research stipends at a rate of \$26,300 per year (2016\$)
 - h. publication and dissemination of Project Research Outputs and outreach activity costs
 - i. specialised computer equipment and software essential to the Project
 - j. teaching relief for CIs, as defined for each scheme in Parts B to F (not available for Recipients of ARC Awards or Fellowships)
 - k. travel costs essential to the Project, as defined for each scheme in Parts B to F
 - l. web hosting and web development specific to the Project
 - m. 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)
 - n. 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.
- A5.2.2 All budget items must be justified in the Proposal to the satisfaction of the ARC.
- A5.2.3 For all other scheme-specific budget items supported, refer to Parts B to F of these Funding Rules.

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
 - e. salaries and/or on-costs and/or Higher Degree by Research stipends, in whole or in part, for CIs or PIs.
- 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
 - e. standard reference materials or funds for abstracting services.
- A5.3.3 For all other scheme-specific budget items not supported, refer to Parts B to F of these Funding Rules.

A6. General Eligibility Requirements

A6.1 Eligible Organisations

- A6.1.1 A Proposal must only be submitted through the Research Office of an Eligible Organisation listed in A12.
- A6.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation. 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.

A6.2 Participant General Eligibility Requirements

- A6.2.1 All CIs, PIs and Candidates 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.
- A6.2.2 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the participants named on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision and acceptance of satisfactory Progress and Final Reports.
- A6.2.3 All CIs, PIs and Candidates must take responsibility for the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant.

A6.3 Limits on Projects and Proposals

- A6.3.1 Within the Discovery Programme a researcher can be funded for a maximum of:
- a. two Projects as a CI, or
 - b. one ARC Fellowship or ARC Award, and one Project as a CI.
- A6.3.2 CIs on funded *ARC Centres of Excellence* commencing in 2017 or later, Directors of *Special Research Initiatives* commencing in 2015 or later, Directors of *Industrial Transformation Research Hubs* commencing in 2015 or later, or Directors of *Industrial Transformation Training Centres* commencing in 2016 or later, may only apply for or hold one Project/ARC Fellowship/ARC Award under the Discovery Programme.
- A6.3.3 Researchers applying for a Director's role for an *Industrial Transformation Research Hub* commencing in 2017 or later, for an *Industrial Transformation Training Centre* commencing in 2017 or later may already hold funded Projects/ARC Fellowships/ARC Awards or have submitted Proposals through these schemes. For eligibility purposes all Projects/ARC Fellowships/ARC Awards held or Proposals submitted to these schemes may be retained until the outcomes of the relevant Proposal(s) are announced.
- A6.3.4 Directors on successful *Industrial Transformation Research Hubs* commencing in 2017 or later or *Industrial Transformation Training Centres* commencing in 2017 or later will be required to relinquish Projects/ARC Fellowships/ARC Awards that would result in the researcher exceeding eligibility limits on the number of Projects/Fellowships/Awards able to be held after the relevant Discovery Programme scheme outcomes are announced. The ARC reserves the right to determine which Project(s)/Fellowship(s)/Award(s) are to be relinquished.
- A6.3.5 These limits do not apply to Partner Investigators, or to other participants on Projects such as higher degree by research students and research assistants.
- A6.3.6 A researcher cannot concurrently hold more than one ARC Fellowship or ARC Award, and a holder of an ARC Fellowship or ARC Award cannot concurrently hold a fellowship from another Commonwealth funding agency. Successful ARC Fellows or ARC Awardees will be required to relinquish other Commonwealth fellowships prior to the commencement of the ARC Fellowship or ARC Award.
- A6.3.7 A researcher cannot concurrently apply for two or more ARC Fellowships.
- A6.3.8 A previous Recipient of funding for an ARC Fellowship or ARC Award cannot apply for a subsequent ARC Fellowship or ARC Award in the same scheme, with the exception of a DAATSIA Award.
- A6.3.9 A Proposal may only be submitted for funding that the researcher would be eligible to hold under these rules as at the Funding Commencement Date of the Project/ARC Fellowship/ARC Award being applied for. The ARC will calculate this rule as at the closing time of submission of Proposals (and

may calculate this rule again as other scheme rounds' announcements are made), by totalling:

- a. the number of Discovery Programme CI roles, ARC Fellowships or ARC Awards, in addition to roles referred to in A6.3.2, that the researcher will hold on Active Project/s as at the Funding Commencement Date of the funding being applied for; and
- b. the number of Discovery Programme Proposals currently under assessment by the ARC which include that researcher as a CI or Candidate.

Notwithstanding the above

- (i) an *Australian Laureate Fellowships* Proposal will not be ruled ineligible due to this subsection. A successful Australian Laureate Fellow will be required to relinquish any existing Projects in order to comply with subsection A6.3.1 and A6.3.2 after the award of the Australian Laureate Fellowship. Candidates will be required to nominate the Project(s) to be relinquished in the Proposal.
- (ii) a *Future Fellowship* Proposal will not be ruled ineligible due to this subsection. A successful Future Fellow will be required to relinquish any existing Projects in order to comply with subsection A6.3.1 and A6.3.2 after the award of the Future Fellowship. Candidates will be required to nominate the Project(s) to be relinquished in the Proposal.

A6.3.10 Except for *Australian Laureate Fellowships* and *Future Fellowship* Proposals, relinquishments of existing Discovery Programme CI roles, ARC Fellowships or ARC Awards must be made and approved before the closing time of submission of Proposals. Any relinquishment made or approved after the closing time of submissions will not be taken into account for the purposes of calculating the limits in this section.

A6.3.11 At the time of application, the Administering Organisation should review cross-scheme limits on Projects as outlined in A6.3 for the Funding Commencement Date. It is the responsibility of the Administering Organisation to comply with requirements for relinquishments in a timely fashion.

A6.4 Eligibility process

A6.4.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and must recommend that a Proposal that does not meet the requirements is ineligible for funding.

A6.4.2 A decision under subsection A6.4.1 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.

A6.4.3 For additional scheme-specific eligibility requirements refer to Parts B to F of these Funding Rules.

The Funding Commencement Date will be used for the purposes of determining Director, CI and PI eligibility.

A7. Submission of Proposals

A7.1 Proposals

- A7.1.1 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.
- A7.1.2 All details in the Proposal must be current at the time of submission.

A7.2 Submission of Proposals in RMS

- A7.2.1 Administering Organisations must submit Proposals through RMS unless otherwise advised by the ARC.
- A7.2.2 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.

A7.3 Closing Time for Proposals

- A7.3.1 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](#).
- A7.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.
- A7.3.3 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.

A7.4 Certification in RMS

- A7.4.1 The Administering Organisation must certify a Proposal online in RMS. Research Offices must ensure that the Research Office delegate role is authorised in RMS to certify and submit Proposals.
- A7.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

A7.5 Conflict of Interest

- A7.5.1 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.
- A7.5.2 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.

- A7.5.3 As part of the certification at A7.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A7.5.1, and that any Conflict of Interest will be managed in accordance with A7.5.2.

A8. Selection and Approval Process

A8.1 Assessment and Selection Process

- A8.1.1 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.
- A8.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.
- A8.1.3 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
 - 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.
- A8.1.4 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
 - b. the Proposal contains incomplete, inaccurate or misleading information.
- A8.1.5 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.
- A8.1.6 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](#).

A8.2 Rejoinder

- A8.2.1 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.

A8.3 Request Not to Assess

- A8.3.1 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 and time available on the Important Dates page on the [ARC website](#).

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 an 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.

- A8.3.2 It will be at the absolute discretion of the ARC whether it will accommodate a request under A8.3.1.

A8.4 Recommendations and Offer of Funding

- A8.4.1 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.
- A8.4.2 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.
- A8.4.3 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](#).
- A8.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer and will be required to enter into a Funding Agreement.
- A8.4.5 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.

A9. Appeals Process

- A9.1 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.
- A9.2 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.

- A9.3 Appeals must be submitted by the Administering Organisation using 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.
- A9.4 Appeals must be submitted to the ARC electronically to the Appeals email address advised in the Contacts section of these Funding Rules.
- A9.5 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.

A10. Reporting Requirements

Details of ARC reporting requirements can be found on the [ARC website](#). For additional scheme-specific reporting requirements, refer to Part B of these Funding Rules.

A10.1 End of Year Reports and Progress Reporting by Exception

- A10.1.1 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 each year by the ARC.
- A10.1.2 A Progress Report by exception must only be completed if significant issues are affecting the progress of the Project.
- A10.1.3 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.
- A10.1.4 The form for these reports will be made available by the ARC in RMS, with instructions on the [ARC website](#).

A10.2 Final Report

- A10.2.1 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](#).
- A10.2.2 The Final Report must address compliance with the [ARC Open Access Policy](#) as detailed in A11.5.
- A10.2.3 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.

- A10.2.4 The ARC may also seek additional information about subsequent Research Outputs after submission of the Final Report.

A11. Fundamental Principles of Conducting Research

A11.1 Ethics and Research Practices

- A11.1.1 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)
 - 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.
- A11.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.

A11.2 Applicable Law

- A11.2.1 The ARC is required to comply with the requirements of the *Privacy Act 1988*, the *Freedom of Information Act 1982* and the *Criminal Code Act 1995*.

A11.3 Confidentiality

- A11.3.1 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 Discovery Programme 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
- h. in the public domain.

A11.3.2 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.

A11.3.3 In addition to the exemptions listed in A11.3.1, 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 programme (the title and summary descriptions of the Project); 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).

A11.3.4 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.

A11.4 Intellectual Property

A11.4.1 The ARC does not claim ownership of any Intellectual Property in a Proposal or in any research arising from a Project.

A11.4.2 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 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](#).

A11.5 Publication and Dissemination of Research Outputs and Research Data

- A11.5.1 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.
- A11.5.2 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.
- A11.5.3 The ARC strongly encourages all researchers applying for funding to have an ORCID Identifier in their RMS Profile.

A11.6 Misconduct, Incomplete or Misleading Information

- A11.6.1 All ARC-funded research Projects must comply with the [ARC Research Integrity and Research Misconduct Policy](#), which is available on the [ARC website](#).
- A11.6.2 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.
- A11.6.3 A decision under subsection A11.6.2 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.
- A11.6.4 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

- 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).

A12. Eligible Organisations

A12.1 Higher Education Organisations

Australian Capital Territory

The Australian National University
University of Canberra

New South Wales

Australian Catholic University
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

Northern Territory

Batchelor Institute of Indigenous Tertiary Education
Charles Darwin University

Queensland

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

South Australia

The Flinders University of South Australia

The University of Adelaide

Torrens University Australia

University of South Australia

Tasmania

University of Tasmania

Victoria

Deakin University

Federation University Australia

La Trobe University

Monash University

Royal Melbourne Institute of Technology (RMIT University)

Swinburne University of Technology

The University of Melbourne

University of Divinity

Victoria University

Western Australia

Curtin University of Technology

Edith Cowan University

Murdoch University

The University of Notre Dame Australia

The University of Western Australia

A12.2 Other Eligible Organisations

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

Additional Eligible Organisations may be specified on a scheme by scheme basis.

Part B Scheme-specific rules for *Australian Laureate Fellowships* for funding commencing in 2017

B1. Interpretation

Part B contains the scheme-specific rules for *Australian Laureate Fellowships* for funding commencing in 2017.

B2. Commencement Date

- B2.1 The Funding Commencement Date for Australian Laureate Fellowships for funding commencing in 2017 is 1 July 2017.
- B2.2 The Project Initialisation Date for Australian Laureate Fellowships for funding commencing in 2017 will be the date that the relevant Project is executed in RMS.

B3. Additional definitions for Part B

- B3.1 For the purposes of this Part:

Postdoctoral Research Associate (PDRA) means a postdoctoral research associate funded by the Commonwealth through the Administering Organisation, who will be employed on the Project.

Postgraduate Researcher (PGR) means a postgraduate research student funded by the Commonwealth through the Administering Organisation, who will undertake a higher degree by research through the Project.

B4. Objectives

- B4.1 The objectives of the *Australian Laureate Fellowships* scheme are to:
- attract and retain outstanding researchers and research leaders of international reputation
 - support ground-breaking, internationally competitive research
 - provide an excellent research training environment and exemplary mentorship to nurture early-career researchers
 - forge strong links among researchers, the international research community and/or industry
 - expand Australia's knowledge base and research capability
 - enhance the scale and focus of research in the Science and Research Priorities.
- B4.2 Preference will be given to researchers who will play a significant, sustained leadership and mentoring role in increasing Australia's internationally competitive research capacity.
- B4.3 Up to 17 *Australian Laureate Fellowships* may be awarded for funding commencing in 2017, including named fellowships as outlined in subsection B4.4.

- B4.4 Two named *Australian Laureate Fellowships* may be awarded to successful female *Australian Laureate Fellows* for funding commencing in 2017. A *Kathleen Fitzpatrick Australian Laureate Fellowship* will be available to a highly ranked female candidate from the humanities, arts and social science disciplines, and a *Georgina Sweet Australian Laureate Fellowship* will be available to a highly ranked female candidate from the science and technology disciplines. Recipients will be provided with additional funding to undertake an ambassadorial role to promote women in research. Recipients will be subject to the same conditions and obligations that apply to *Australian Laureate Fellowships* as outlined in these Funding Rules, as well as meeting the additional requirements outlined in section B9 of these Funding Rules.

B5. Selection Criteria

- B5.1 All Proposals that meet the eligibility criteria will be assessed and merit ranked using the following selection criteria:
- a. Investigator 40%
 - (i) Research Opportunity and Performance Evidence (ROPE)
 - evidence of outstanding Research Output and achievement taking into account research opportunity
 - potential to undertake ground-breaking research
 - outstanding leadership ability
 - potential to create an enduring legacy that would be enhanced by the *Australian Laureate Fellowship*
 - contribution to national and international public policy debates and initiatives.
 - (ii) Time and capacity to undertake the proposed research.
 - b. Project/Program of Research Activity 30%
 - (i) Innovation
 - Are the Project aims and concepts original and innovative, representing the leading edge of research in the field?
 - Will new methods, technologies, theories or ideas be developed?
 - How does the research program enhance innovation in Australia?
 - (ii) Approach
 - Are the conceptual framework, design, methods and analyses adequately developed, well integrated and appropriate to the aims of the Project?
 - (iii) Significance and National Benefit
 - Does the research address an important problem?
 - How will the anticipated outcomes advance the knowledge base?

- Is there a major contribution to public policy formulation and debate?
- Will the proposed research maximise economic, environmental, social and/or cultural benefit to Australia?
- Will the proposed research be cost-effective and value for money?
- What is the potential for the research to contribute to the Science and Research Priorities?
- Will this research build new international research collaboration or links between research and industry?

c. Mentoring/Capacity Building 30%

- Does the Proposal show how the Project will build new teams and create world-class research capacity, collaboration and innovation?
- Does the *Australian Laureate Fellowship* Candidate:
 - demonstrate exceptional ability to supervise and to mentor postdoctoral researchers and other early-mid career researchers?
 - have a record of successful postgraduate supervision, where applicable?
 - provide evidence in the Proposal of a suitable environment for postgraduate students and postdoctoral researchers?
 - demonstrate exceptional leadership and the organisational ability to ensure the development of scale and focus in research?
 - provide evidence of the potential to attract financial resources to enhance research capacity?

B6. Funding

B6.1 Level and Period of Funding

- B6.1.1 The Administering Organisation must provide a salary of a Level E professorial appointment (or equivalent) for the *Australian Laureate Fellow*, with the ARC providing the salary supplement.
- B6.1.2 The level of salary supplement that will be provided by the ARC for an *Australian Laureate Fellow*, in addition to funding for PDRAs and PGRs, is specified in section B10.
- B6.1.3 The ARC may provide Project funding of up to \$300,000 per annum (for up to five years). Requests for Project funding may include additional postdoctoral and postgraduate researchers.
- B6.1.4 *Australian Laureate Fellowships* are normally funded for five years on a full-time basis, subject to sufficient funding being available for *Australian Laureate Fellowships*, the provisions of the ARC Act, and continued satisfactory progress of the Project.

- B6.1.5 PDRA's are normally awarded for five years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the PDRA as determined by the ARC. The ARC supports part-time employment for PDRA's subject to the employment conditions of the Administering Organisation.
- B6.1.6 PGRs are normally funded for four years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the PGR as determined by the ARC.

B6.2 Budget Items Supported

- B6.2.1 In addition to budget items supported under subsection A5.2, personnel costs may be supported under the *Australian Laureate Fellowships* scheme as outlined in section B10.
- B6.2.2 Domestic and international economy travel costs may be supported, subject to the policies of the Administering Organisation. Funding is permitted for domestic and international economy travel associated with the Project, including to foster and strengthen collaborations between researchers in Australia and overseas.
- B6.2.3 Additional funding may be requested subject to B9.2 where the candidate has applied for either the *Kathleen Fitzpatrick Australian Laureate Fellowship* or *Georgina Sweet Australian Laureate Fellowship* and intends to use these funds as part of their ambassadorial role to promote women in research.

B7. Employment of Australian Laureate Fellows

- B7.1.1 The Administering Organisation must provide Australian Laureate Fellows with a Level E professorial appointment (or equivalent) and salary for the duration of the Australian Laureate Fellowship.
- B7.1.2 The Australian Laureate Fellow must be an employee of the Administering Organisation for the duration of the Australian Laureate Fellowship.
- B7.1.3 The Australian Laureate Fellow is expected to spend a minimum of 20 per cent of her/his time on activities at the Administering Organisation.
- B7.1.4 The Australian Laureate Fellow is expected to spend a minimum of 80 per cent of her/his time on research activities related to the proposed Australian Laureate Fellowship.
- B7.1.5 In exceptional circumstances other appointments may be approved where, in the view of the ARC, such appointments would enhance the Fellowship. Approval for any such appointments must be sought from the ARC, and will be at the absolute discretion of the ARC.

B8. Roles and Eligibility

B8.1 Additional eligibility criteria for Australian Laureate Fellows

- B8.1.1 A Proposal must nominate one Australian Laureate Fellowship Candidate. Australian Laureate Fellowship Candidates may be nominated on no more than one Proposal in this funding round, evaluated as at the closing time of

submission of Proposals, regardless of any subsequent change in, or withdrawal of, Proposals.

- B8.1.2 A Proposal may be submitted for an Australian Laureate Fellowship on behalf of an Australian or international researcher. An Australian Laureate Fellowship Candidate may hold a continuing or non-continuing appointment in Australia or overseas at the time the Proposal is submitted.
- B8.1.3 Australian Laureate Fellows who are not Australian citizens must obtain a legal right to work and reside in Australia for the duration of the Australian Laureate Fellowship.
- B8.1.4 Australian Laureate Fellows must reside in Australia for a minimum of three out of the five years of the Fellowship, except where ARC approval has been granted.
- B8.1.5 Australian Laureate Fellows are expected to pursue research that is at the international leading edge in their field. To facilitate this aim, Australian Laureate Fellows may, with the approval of the ARC undertake research outside Australia for periods of up to two years in total, providing that the Administering Organisation clearly demonstrates this is in the best interests of the research and its outcomes, and of national benefit to Australia.
- B8.1.6 Prior to the commencement of an Australian Laureate Fellowship, any existing responsibilities must be relinquished, except the Australian Laureate Fellowship Level E salaried position, unless otherwise approved by the ARC. ARC approval must also be obtained for any responsibilities after the award.
- B8.1.7 Australian Laureate Fellows are normally expected to work a minimum of 80 per cent (0.8 Full Time Equivalent (FTE)) on research and research capacity-building activities. Research capacity-building activities could include research leadership in teams and centres (ARC Centres or other research-related centres) and supervision of postgraduate students, but do not include a major role in administration. While an Australian Laureate Fellow's principal duty is to undertake research, it is also important to specify in the Proposal the role they would be expected to play within the Administering Organisation, and if applicable, the ARC Centre or other research-related centre.
- B8.1.8 The Administering Organisation must ensure the Australian Laureate Fellow has access to periods of up to 14 weeks paid maternity leave where such leave is taken during the course of the Australian Laureate Fellowship. The ARC will provide up to 14 weeks additional funding per period for this purpose, and the Australian Laureate Fellowship period will be extended for a period equivalent to the duration of paid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- B8.1.9 The Administering Organisation must ensure that Australian Laureate Fellows are entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the parent who is not identified as the primary caregiver during the course of the Australian Laureate Fellowship. The ARC will provide up to two weeks additional funding for this purpose

per period, and the Australian Laureate Fellowship period will be extended for a period equivalent to the duration of the paid and unpaid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.

- B8.1.10 The Australian Laureate Fellow may spend up to 0.2 FTE (20 per cent of Full Time Equivalent) of their time on teaching activities. Supervision of honours or postgraduate students is not included in this limit. The Australian Laureate Fellowship will not be extended to accommodate any periods of teaching.

B8.2 Eligibility Criteria for Postdoctoral Research Associates (PDRAs)

- B8.2.1 A PDRA must have been awarded a PhD or obtain approval from the ARC as having a research degree or experience equivalent to the award of a PhD.
- B8.2.2 The total number of funded PDRA Full-Time Equivalent (FTE) positions can be varied to meet the needs of the Project. It is the responsibility of the Administering Organisation to ensure that the total number of funded FTE equivalent Positions is not exceeded over the life of the Project.
- B8.2.3 Approval may be sought from the ARC for a PDRA to undertake overseas research for a total of up to two years, provided that it is in the best interests of the research and its outcomes, and of national benefit to Australia.

See the Funding Agreement for employment conditions.

B8.3 Eligibility Criteria for Postgraduate Researchers (PGRs)

- B8.3.1 To be eligible to receive postgraduate research funding, a student must:
- be enrolled in a full-time higher degree by research at an Eligible Organisation
 - have an appropriate Honours 1 or 2A (or equivalent) undergraduate degree (this may be relaxed where a candidate has developed considerable research expertise in industry)
 - not be receiving similar funding or stipend from another Commonwealth programme
 - not have completed a degree at the same level or at a higher level in the same field of endeavour
 - not previously have held an Australian Postgraduate Award (APA) or Australian Postgraduate Award Industry (APAI) unless it was terminated within the first six months of the earlier award.

See the Funding Agreement for employment conditions.

B9. Kathleen Fitzpatrick Australian Laureate Fellowship and Georgina Sweet Australian Laureate Fellowship

- B9.1 The *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship* aim to encourage applications from female research leaders of international repute.
- B9.2 These two fellowships involve the provision of additional funding of up to \$20,000 per annum (for five years) to each of the successful Recipients to undertake an ambassadorial role to promote women in research and to mentor early career researchers, particularly women, to encourage them to enter and establish careers in research in Australia.
- B9.3 A *Kathleen Fitzpatrick Australian Laureate Fellowship* will be available to a highly ranked female candidate from the humanities, arts and social science disciplines, and a *Georgina Sweet Australian Laureate Fellowship* will be available to a highly ranked female candidate from the science and technology disciplines.
- B9.4 Recipients of a *Kathleen Fitzpatrick Australian Laureate Fellowship* and *Georgina Sweet Australian Laureate Fellowship* must be female, and must also meet the eligibility criteria for Australian Laureate Fellows outlined in subsection B8.1 of these Funding Rules. Candidates will be required to indicate their willingness to take on the ambassadorial role within their Proposal, including providing a brief outline of their proposed activities.
- B9.5 Candidates who apply for a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will be assessed against the same selection criteria and will be subject to the same conditions and obligations that apply to all Australian Laureate Fellowship Candidates as outlined in these Funding Rules. Preference will be given to candidates who are able to demonstrate outstanding mentoring and capacity building qualities.
- B9.6 Candidates who are unsuccessful in obtaining a *Kathleen Fitzpatrick Australian Laureate Fellowship* or a *Georgina Sweet Australian Laureate Fellowship* will still be considered for an Australian Laureate Fellowship.
- B9.7 The ARC may in its absolute discretion decide not to award one or both of these named fellowships.

B10. Salary Support

- B10.1 The ARC will provide a salary supplement to a Professorial Level E (or equivalent) salary for a successful Australian Laureate Fellow:

	ARC Salary Supplement	On-costs 30%	Total (2016\$)
Australian Laureate Fellows	\$121,762	\$36,529	\$158,291

- B10.2 The ARC may provide additional funding for up to two PDRAs (for five years each) and up to two PGRs (for four years each):

	ARC Salary	On-costs 30%	Total (2016\$)
PDRA	\$74,760	\$22,428	\$97,188
PGR	\$26,300	N/A	\$26,300

The figures in this section are based on the 2016 levels of funding and will be subject to variation (for example, due to annual indexation). Updated levels will be available on the [ARC website](#).

B11. Reporting Requirements

- B11.1 In addition to the reporting requirements at section A10, Administering Organisations for successful *Australian Laureate Fellowships* will be required to submit mid-term case studies for each Project. The ARC will provide details to Administering Organisations regarding this requirement.

Part C Scheme-specific rules for *Future Fellowships* for funding commencing in 2017

C1. Interpretation

Part C contains the scheme-specific rules for *Future Fellowships* for funding commencing in 2017.

C2. Commencement Date

- C2.1 The Funding Commencement Date for *Future Fellowships* for funding commencing in 2017 is 1 July 2017.
- C2.2 The Project Initialisation Date for *Future Fellowships* for funding commencing in 2017 will be the date that the relevant Project is executed in RMS.

C3. Additional Definitions for Part C

- C3.1 For the purposes of this Part:

Australian Researchers means Australian citizens, permanent residents and New Zealand Special Category Visa holders.

Future Fellow means a researcher who receives funding under the *Future Fellowships* scheme.

Future Fellowship means an individual award which has been awarded under the *Future Fellowships* scheme to an eligible researcher named in Schedule A, and includes a component of salary and non-salary funding.

Future Fellowship Candidate means a researcher nominated in a Proposal for a *Future Fellowship*.

Host Organisation means an organisation, other than the Administering Organisation, at which the Future Fellow undertakes her/his research.

C4. Objectives

- C4.1 The objectives of the *Future Fellowships* scheme are to:
- ensure that outstanding mid-career researchers are recruited and retained by Administering Organisations in continuing academic positions
 - build collaboration across industry and/or research organisations and/or disciplines
 - support research in national priorities that will result in economic, environmental, social and/or cultural benefits for Australia
 - strengthen Australia's research capacity by supporting innovative, internationally competitive research.
- C4.2 Under the *Future Fellowships* scheme up to 100 four year awards will be offered each year. Preference will be given to Australian Researchers.

C5. Selection Criteria

C5.1.1 Proposals will be assessed and ranked using the following selection criteria:

a. *Future Fellowship* Candidate 40%

<i>Future Fellowship</i> Level 1 and 2	<i>Future Fellowship</i> Level 3
<ul style="list-style-type: none"> - research opportunity and performance evidence (ROPE) - capacity and leadership to undertake the proposed research - record of high quality Research Outputs appropriate to the discipline/s - evidence of mentoring - evidence of national research standing. 	<ul style="list-style-type: none"> - research opportunity and performance evidence (ROPE) - capacity and leadership to initiate and manage large research Projects - record of outstanding Research Outputs appropriate to the discipline/s - evidence of international research standing - evidence of excellence in research training, mentoring and supervision - evidence of contribution to national and/or international public policy debates and initiatives.

b. Project Quality 35%

- Does the research address a significant problem?
- Is the conceptual/theoretical framework innovative and original?
- Will the aims, concepts, methods and results advance knowledge?
- Are the design and methods appropriate?
- Will the proposed research maximise economic, environmental, social, and/or cultural benefit to Australia?
- Does the proposed Project address Science and Research Priorities?
- Will the proposed Project involve interdisciplinary research?
- Will the proposed Project push the boundaries of research?
- Will the proposed Project open up new research opportunities?
- Is there a contribution to public policy formulation and debate?

c. Feasibility and Strategic Alignment 10%

- To what extent does the *Future Fellowship* Candidate align with and/or complement the core or developing research strengths and staffing profile of the Administering Organisation?
 - Are the necessary facilities available to conduct the proposed research?
 - What resources will be provided by the Administering Organisation to support the *Future Fellowship* Candidate during her/his *Future Fellowship*?
 - At the end of the *Future Fellowship* what capacity exists at the Administering Organisation to transition the candidate to a continuing position?
- d. Benefit and Collaboration/Outreach 15%
- Are there adequate strategies to encourage dissemination, commercialisation, if appropriate and promotion of research outcomes?
 - How will the *Future Fellowship* Candidate build collaborations across research organisations and/or industry and/or with other disciplines?
 - Will the completed Project produce significant new knowledge and/or innovative economic, commercial, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?

C6. Statement by the Administering Organisation outlining Strategic Alignment

- C6.1.1 The Administering Organisation must provide a statement within the Proposal which:
- a. outlines the area of core or emerging areas of research strength and describes the level of resources to be provided to support the successful candidate (for example, include Project costs, PhD students, or salary top-up)
 - b. outlines plans to retain the successful Future Fellow in a continuing position, subject to appropriate performance during the Fellowship
 - c. where the *Future Fellowship* Candidate is an existing employee of the Administering Organisation, describe how the salary that was previously provided by the Administering Organisation will be used
 - d. is signed by the Deputy Vice-Chancellor (Research) or equivalent.

C7. Funding

C7.1 Level and Period of Funding

- C7.1.1 A *Future Fellowship* may be requested and/or awarded at one of three salary levels and salary-related (on-cost) funding.

- C7.1.2 A *Future Fellowship* will be funded for four years on a full-time basis.
- C7.1.3 An Administering Organisation may be awarded up to \$50,000 of non-salary funding per annum which may be used for the items indicated in C7.2.

C7.2 Budget Items Supported

- C7.2.1 In addition to the items supported under subsection A5.2, funding provided by the ARC may be used for items which directly support the *Future Fellowship* Candidate's research, including:
- expenditure on Field Research essential to the Project, including technical and logistical support. Field Research travel and accommodation costs may be funded for the *Future Fellowship* candidate and support personnel
 - higher degree by research stipends, at a rate of \$26,300 (2016\$) per annum (up to one per Proposal) for students enrolled at Eligible Organisations
 - travel costs essential to the Project, including economy travel costs for domestic and/or international travel and accommodation (excluding relocation costs) not exceeding \$100,000 over the life of the *Future Fellowship*. Travel costs related to carrying out Field Research are not included in this \$100,000 limit on travel. This limit does not include any carers' costs in travel.
- C7.2.2 All eligible requested funding costs must be justified in the Proposal to the satisfaction of the ARC.

C8. Host Organisations

C8.1 Host Organisations General Requirements

- C8.1.1 If the *Future Fellowship* Candidate proposes to undertake research at an organisation other than the Administering Organisation whilst holding a *Future Fellowship*, this organisation must be listed as a Host Organisation within the Proposal.
- C8.1.2 Each Proposal may identify one or more Host Organisations which do not have to be Eligible Organisations listed in A12.
- C8.1.3 The Proposal must describe:
- the extent of the collaboration between the *Future Fellowship* Candidate and the Host Organisation(s)
 - the extent to which the Host Organisation(s) will accommodate the *Future Fellowship* Candidate
 - how the Host Organisation(s) will provide suitable resources for the *Future Fellowship* Candidate.
- C8.1.4 The Future Fellow may conduct research at the Host Organisation(s), provided that it is in the best interests of the research and its outcomes, and is of national benefit to Australia.

C9. Scheme-specific Eligibility Requirements

C9.1 Application Limits

- C9.1.1 The *Future Fellowship* Candidate may be nominated on no more than one *Future Fellowships* Proposal in each funding round, evaluated as at the closing time of submission of Proposals, regardless of any subsequent change in, or withdrawal of, Proposals. Submitting Proposals that exceed this limit will result in all Proposals involving the relevant researcher not being recommended for funding.
- C9.1.2 The *Future Fellowship* Candidate may be nominated on a maximum of two *Future Fellowships* Proposals over the life of the scheme. This includes Proposals that have been withdrawn after the closing time of submission of Proposals and Proposals which were deemed ineligible by the ARC. The *Future Fellowships* scheme commenced in 2009.
- C9.1.3 A *Discovery Early Career Researcher Award (DECRA)* Recipient may apply for a *Future Fellowship* in the final year of *DECRA* funding, including periods of approved salary carryover, but cannot hold a *DECRA* and an ARC Fellowship concurrently.

C9.2 Future Fellowship Candidate and Role

- C9.2.1 The Future Fellow must be an employee at the Administering Organisation for the duration of the Fellowship.
- C9.2.2 The Future Fellow is expected to spend a minimum of 20 per cent of their time on activities at the Administering Organisation.
- C9.2.3 The Future Fellow is expected to spend a minimum of 80 per cent of their time on research activities related to the proposed *Future Fellowship*.
- C9.2.4 The Future Fellow may not engage in other professional employment for the duration of the *Future Fellowship* without prior approval from the ARC under subsection C9.2.5.
- C9.2.5 The *Future Fellowship* may be awarded on a full-time basis, or a part-time basis if the Future Fellow needs to fulfil family and/or carer responsibilities. The *Future Fellowship* may be converted to (or from) part-time at any time to enable the Future Fellow to fulfil family and/or carer responsibilities, or with the prior approval of the ARC to pursue exceptional research opportunities, provided that the *Future Fellowship* does not exceed eight years from the date of commencement (excluding any approved periods of suspension and/or maternity and/or partner/parental leave).

A *Future Fellowship* does not have a minimum Full-Time Equivalent (FTE) for ARC purposes, but the FTE of the Future Fellow for ARC purposes must match that of the Future Fellow's employment contract. The Administering Organisation and not the ARC is to manage changes to the Future Fellow's working hours. The Administering Organisation will notify the ARC of any changes to working hours through submission of a *Variation of Funding Agreement*.
- C9.2.6 The Administering Organisation must ensure the Future Fellow has access to periods of up to 14 weeks paid maternity leave where such leave is

taken during the course of the *Future Fellowship*. The ARC will provide up to 14 weeks additional funding for this purpose. The Administering Organisation must seek ARC approval for any extension to the life of the Project exceeding the 14 weeks paid and unpaid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.

- C9.2.7 The Administering Organisation must ensure that Future Fellows are entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the parent who is not identified as the primary caregiver during the course of the *Future Fellowship*. The ARC will provide up to two weeks additional funding for this purpose and the *Future Fellowship* period will be extended for a period equivalent to the duration of the paid and unpaid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- C9.2.8 The Future Fellow may spend up to 0.2 (20 per cent of Full Time Equivalent (FTE)) of her/his time annually on teaching activities. The *Future Fellowship* will not be extended to accommodate any periods of teaching. Supervision of honours or postgraduate students is not included in this limit.

C9.3 Eligibility Criteria for the Future Fellow

- C9.3.1 A Proposal must only nominate one *Future Fellowship* Candidate.
- C9.3.2 A *Future Fellowship* Candidate must at the closing time of submission of Proposals:
- a. have been awarded a PhD on or between 1 March 2002 and 1 March 2012; or
 - b. commensurate with periods of significant and not overlapping career interruption, as outlined below, and as certified by the Deputy Vice-Chancellor (Research), been awarded a PhD on or after 1 March 2002 (and before 1 March 2012). The following types of interruption will be accepted:
 - i. disruption due to international relocation for post-doctoral studies or other research employment not exceeding three months per international relocation
 - ii. unemployment
 - iii. non-research employment not concurrent with research employment
 - iv. illness
 - v. maternity or parental leave
 - vi. carers' responsibility, including:
 - (i) being the primary carer of a dependent child, two years per dependent child

- (ii) being the primary carer of a dependent child with extensive caring responsibilities due to reasons such as illness or disability of the child and/or
- (iii) other caring responsibility.

The period(s) of significant interruption must be at least equal to the period since the award of a PhD and 1 March 2002. Career interruptions of less than one month will not be considered.

If the *Future Fellowship* Candidate holds a research higher degree which is not a PhD, it is the Administering Organisation's responsibility to certify that the *Future Fellowship* Candidate's qualification meets the level 10 criteria of the [Australian Qualifications Framework Second Edition January 2013](#). For assessing overseas qualifications please see the [Country Education Profiles](#) Online tool. A subscription fee is required to access this service.

If a *Future Fellowship* Candidate holds a professional equivalent to a PhD, this must be certified by the Administering Organisation.

The ARC reserves the right to audit any evidence on which an application is based.

- C9.3.3 A Future Fellow who is not an Australian citizen must obtain a legal right to work and reside in Australia for the duration of the ARC Fellowship.
- C9.3.4 A Future Fellow must not spend more than half of the duration of the Fellowship outside Australia or engaged in international travel, except where ARC approval has been granted.
- C9.3.5 The Future Fellow 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 undertaken by others.
- C9.3.6 The Future Fellow must relinquish any fellowships or the duties of any existing appointments prior to commencement. The Future Fellow may hold honorary or non-remunerated fellowships. The Administering Organisation must ensure that honorary or non-remunerated fellowships will not impair the capacity of the Future Fellow to complete the proposed Project. The Future Fellow must relinquish any ARC Projects in order to comply with A6.3.1 and A6.3.2 after the award of the Fellowship.
- C9.3.7 The Future Fellow cannot begin another ARC Fellowship or ARC Award until the entire *Future Fellowship* salary component has been expended.

C9.4 Salary Levels

- C9.4.1 A *Future Fellowship* salary must be requested and will be awarded at one of three salary levels (2016\$) (plus salary-related (on-cost) funding), at the academic level **one step higher** than the *Future Fellowship* Candidate's academic level (or equivalent) at the **closing time** for submission of Proposals (for example, a researcher that is currently an Academic Level C must apply for a *Future Fellowship* Level 2 as shown in Table 1. below) with the exceptions in C9.4.2 and C9.4.3.

Table 1: *Future Fellowship* Salary Levels (2016\$)

Current Academic Level (or equivalent)	<i>Future Fellowship</i> Salary Level to be requested	Salary	On-costs 30%	Total
Level B or below	<i>Future Fellowship</i> Level 1 (1.0 FTE)	\$115,674	\$34,702	\$150,376
Level C	<i>Future Fellowship</i> Level 2 (1.0 FTE)	\$140,027	\$42,008	\$182,035
Level D or above	<i>Future Fellowship</i> Level 3 (1.0 FTE)	\$164,379	\$49,314	\$213,693

- C9.4.2 Where the *Future Fellowship* Candidate is unemployed, is not employed at the time of application at an Australian university, or is an international researcher, the academic level applicable must be fully justified by the Deputy Vice Chancellor (Research) or equivalent.
- C9.4.3 Where the *Future Fellowship* Candidate has experienced significant interruptions to their academic career, due to family responsibilities as primary care giver and/or due to working with a relevant industry, they may choose the most appropriate salary level. The circumstances of the career interruption and chosen salary level must be justified and certified by the Deputy Vice Chancellor (Research) or equivalent.
- C9.4.4 The ARC has the absolute discretion in determining the requirements outlined in subsection C9.4.2 for circumstances including, but not limited to, *Future Fellowship* Candidates who are employed overseas, who are not employed, or who are not receiving a salary, at the closing time of submission of Proposals.

Part D Scheme-specific rules for *Discovery Early Career Researcher Award* for funding commencing in 2018

D1. Interpretation

Part D contains the scheme-specific rules for *Discovery Early Career Researcher Award* for funding commencing in 2018.

D2. Commencement Date

- D2.1 The Funding Commencement Date for *Discovery Early Career Researcher Award* for funding commencing in 2018 is 1 January 2018.
- D2.2 The Project Initialisation Date for *Discovery Early Career Research Award* for funding commencing in 2018 will be the date that the relevant Project is executed in RMS.

D3. Additional definitions for Part D

- D3.1 For the purposes of this Part:

DECRA Candidate means a researcher nominated in a Proposal for a *Discovery Early Career Researcher Award*.

DECRA Recipient means a researcher awarded funding under the *Discovery Early Career Researcher Award* scheme.

D4. Objectives

- D4.1 The objectives of the *Discovery Early Career Researcher Award (DECRA)* scheme are to:
- support excellent basic and applied research by early career researchers
 - advance promising early career researchers and promote enhanced opportunities for diverse career pathways
 - enable research and research training in high quality and supportive environments
 - expand Australia's knowledge base and research capability
 - enhance the scale and focus of research in the Science and Research Priorities.
- D4.2 Under the *DECRA* scheme up to 200 three year awards will be offered to early career researchers each year.

D5. Selection Criteria

D5.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Project Quality and Innovation 40%
 - Does the research address a significant problem?
 - Is the conceptual/theoretical framework innovative and original?
 - What is the potential for the research to contribute to the Science and Research Priorities?
 - Will the aims, concepts, methods and results advance knowledge?
- b. *DECRA* Candidate 35%
 - Research opportunity and performance evidence (ROPE); and
 - Time and capacity to undertake the proposed research.
- c. Feasibility 10%
 - Do the Project's design, participants and requested budget create confidence in the timely and successful completion of the Project?
 - Is there an existing, or developing, supportive and high quality environment for this Candidate, their Project and for Higher Degree by Research students where appropriate?
 - Are the necessary facilities available to complete the Project?
- d. Benefit 15%
 - Will the completed Project produce significant new knowledge and/or innovative economic, commercial, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?

D6. Statement by the Administering Organisation

D6.1 The Administering Organisation must provide a statement in relation to the Project within the Proposal which:

- a. indicates that this area is a core or emerging research strength and describes the level of resources to be provided to support the successful *DECRA* candidate (for example, project costs, PhD students, or salary top-up)
- b. details opportunities for the *DECRA* Candidate to demonstrate the level of independence required to be competitive for research and/or research and teaching pathways at the Administering Organisation during and after the Project
- c. is signed by the Deputy Vice-Chancellor (Research) or equivalent.

D7. Funding

D7.1 Level and Period of Funding

- D7.1.1 A *DECRA* Recipient may be awarded ARC funding of up to \$139,369 per year of funding. The per annum salary contribution from the ARC is fixed at \$99,369 (2016\$), including 30 per cent on-costs, and up to a maximum of \$40,000 project costs. Salary and/or project costs will not be awarded separately.
- D7.1.2 A *DECRA* may be applied for and awarded ARC funding for three consecutive years on a full-time basis. Subject to the conditions in subsection D8.2.5, a *DECRA* Project may be undertaken on a part-time basis not exceeding six consecutive years.

D7.2 Budget Items Supported

- D7.2.1 Budget items supported are listed under subsection A5.2, subject to the following limitations:
- Up to one higher degree by research stipend may be supported per Proposal (this stipend may be divided amongst more than one person, for example two students at 0.5 FTE each)
 - travel costs essential to the Project may be supported, including economy travel costs for domestic and/or international travel, up to \$50,000 over the life of the Project. Travel and accommodation costs related to carrying out Field Research are not included in this \$50,000 limit. This limit does not include any carers' costs in travel.
- D7.2.2 All eligible requested funding costs must be justified in the Proposal to the satisfaction of the ARC.
- D7.2.3 Funding for the *DECRA* Recipient's salary component may be used for other purposes to support the Project in exceptional circumstances with the approval of the ARC without extension to the life of the Project. The use of *DECRA* funding for other purposes does not confer an exemption from the rules in A6.3.

D7.3 Budget Items Not Supported

- D7.3.1 A list of budget items which will not be supported by ARC funding and should not be requested in the budget is provided at A5.3.

D8. Scheme-specific eligibility requirements

D8.1 Application Limits

- D8.1.1 *DECRA* Candidates may be nominated on no more than one Proposal in this *DECRA* funding round, evaluated as at the closing time of submission of Proposals, regardless of any subsequent change in, or withdrawal of, Proposals.
- D8.1.2 A researcher may only apply for up to two *DECRA*s over the period in which they are eligible, unless otherwise approved by the ARC. This includes Proposals that have been withdrawn after the closing time of

submission of Proposals, and Proposals which were deemed ineligible by the ARC.

D8.2 DECRA Candidate and Role

- D8.2.1 The *DECRA* Recipient must be an employee at the Administering Organisation for the duration of the Fellowship.
- D8.2.2 The *DECRA* Recipient is expected to spend a minimum of 20 per cent of their time on activities at the Administering Organisation.
- D8.2.3 The *DECRA* Recipient is expected to spend a minimum of 80 per cent of their time on research activities related to the proposed *DECRA*.
- D8.2.4 The *DECRA* Recipient may not engage in other professional employment for the duration of the *DECRA* without prior approval from the ARC under subsection D8.2.5.
- D8.2.5 The *DECRA* may be awarded on a full-time basis, or a part-time basis if the *DECRA* Recipient is required to fulfil family and/or carer responsibilities. The *DECRA* may be converted to (or from) part-time at any time to enable the *DECRA* Recipient to fulfil family and/or carer responsibilities, or with the prior approval of the ARC to pursue exceptional research opportunities, provided that the *DECRA* does not exceed six years from the date of commencement (excluding any approved periods of suspension and/or maternity and/or partner/parental leave). A *DECRA* does not have a minimum Full-Time Equivalent (FTE) for ARC purposes, but the FTE of the *DECRA* Recipient for ARC purposes must match that of the *DECRA* Recipient's employment contract. The Administering Organisation and not the ARC is to manage changes to the *DECRA* Recipient's working hours. The Administering Organisation will notify the ARC of any changes to working hours.
- D8.2.6 The Administering Organisation must ensure a *DECRA* Recipient has access to periods of up to 14 weeks paid and unpaid maternity leave where such leave is taken during the course of the ARC Award. The ARC will provide up to 14 weeks additional funding per period for this purpose, and the *DECRA* period will be extended for a period equivalent to the duration of paid and unpaid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- D8.2.7 The Administering Organisation must ensure that a *DECRA* Recipient is entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the partner/parent who is not identified as the primary caregiver during the course of the *DECRA*. The ARC will provide up to two weeks additional funding for this purpose per period, and the *DECRA* period will be extended for a period equivalent to the duration of the paid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- D8.2.8 The *DECRA* Recipient may spend up to 0.2 FTE (20 per cent of Full Time Equivalent) of their time annually on teaching activities. The *DECRA* will

not be extended to accommodate any periods of teaching. Supervision of honours or postgraduate students is not included in this limit.

D9. Eligibility Criteria for the DECRA Candidate

D9.1.1 A Proposal must nominate one *DECRA* Candidate.

D9.1.2 A *DECRA* Candidate must at the closing time of submission of Proposals:

- a. have been awarded a PhD on or after 1 March 2012; or
- b. commensurate with periods of significant and consecutive career interruption, as outlined below, and as certified by the Deputy Vice-Chancellor (Research), been awarded a PhD prior to 1 March 2012. The following types of interruption will be accepted:
 - i. disruption due to international relocation for post-doctoral studies or other research employment not exceeding three months per international relocation
 - ii. unemployment
 - iii. non-research employment not concurrent with research employment
 - iv. illness
 - v. maternity or parental leave
 - vi. carers' responsibility, including:
 - (i) being the primary carer of a dependent child, two years per dependent child;
 - (ii) being the primary carer of a dependent child with extensive caring responsibilities due to reasons such as illness or disability of the child; and/or
 - (iii) other caring responsibility.

The period(s) of significant interruption must be at least equal to the period since the award of a PhD and the closing date and time for Proposals under this Scheme. Career interruptions of less than one month will not be considered.

If the *DECRA* Candidate holds a research higher degree which is not a PhD, it is the Administering Organisation's responsibility to certify that the *DECRA* Candidate is an early career researcher and that the *DECRA* Candidate's qualification meets the level 10 criteria of the [Australian Qualifications Framework Second Edition January 2013](#). For assessing overseas qualifications please see the [Country Education Profiles](#) Online tool. A subscription fee is required to access this service.

The ARC reserves the right to audit any evidence on which an application is based.

D9.1.3 A *DECRA* Recipient who is not an Australian citizen must obtain a legal right to work and reside in Australia for the duration of the ARC Award.

- D9.1.4 A *DECRA* Recipient must not spend more than one third of the duration of the ARC Award outside Australia or engaged in international travel, except where ARC approval has been granted.
- D9.1.5 A *DECRA* Recipient cannot concurrently receive salary from more than one Commonwealth Award. The Administering Organisation must ensure any concurrent Award held by the *DECRA* Recipient does not impair the capacity of the *DECRA* Recipient to complete the proposed Project.
- D9.1.6 The *DECRA* Recipient cannot commence another ARC Fellowship or ARC Award until the entire *DECRA* salary component has been expended.

Part E Scheme-specific rules for *Discovery Indigenous* for funding commencing in 2018

E1. Interpretation

Part E contains the scheme-specific rules for *Discovery Indigenous* for funding commencing in 2018.

E2. Commencement Date

- E2.1 The Funding Commencement Date for *Discovery Indigenous* for funding commencing in 2018 is 1 January 2018.
- E2.2 The Project Initialisation Date for *Discovery Indigenous* for funding commencing in 2018 will be the date that the relevant Project is executed in RMS.

E3. Additional Definitions for Part E

- E3.1 For the purposes of this Part:

Indigenous Australian means a person of Australian Aboriginal or Torres Strait Islander descent who identifies as an Australian Aboriginal or Torres Strait Islander person and is accepted as an Australian Aboriginal or Torres Strait Islander person by the community in which they live or have lived.

Project Leader means the first-named CI on a Proposal.

E4. Introduction to *Discovery Indigenous*

E4.1 Overview

- E4.1.1 The *Discovery Indigenous* scheme provides funding to Administering Organisations to support research programs led by an Indigenous researcher and builds the research capacity of higher degree research and early career researchers.

E4.2 Objectives

- E4.2.1 The objectives of the *Discovery Indigenous* scheme are to:
- support excellent basic and applied research and research training by Indigenous researchers as individuals and as teams
 - develop the research expertise of Indigenous researchers
 - support and retain established Indigenous researchers in Australian higher education institutions
 - expand Australia's knowledge base and research capability.

E5. Selection Criteria

E5.1.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Project Quality and Innovation 40%
 - Does the research address a significant problem?
 - Is the conceptual/theoretical framework innovative and original?
 - Will the aims, concepts, methods and results advance knowledge?
 - What is the potential for the research to contribute to the Science and Research Priorities?
- b. Investigator(s) 35%
 - Research opportunity and performance evidence (ROPE).
 - Time and capacity to undertake the proposed research.
- c. Feasibility 10%
 - Are there strategies for enabling collaboration with Australian Aboriginal and Torres Strait Islander communities where appropriate (for example, dialogue/collaboration with an Indigenous cultural mentor)?
 - Is there an existing or developing, supportive and high quality research community?
 - Are the necessary facilities available to complete the Project?
 - Are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?
 - Is the design of the Project and the expertise of the participants sufficient to ensure the Project can be completed within the proposed budget and timeframe?
- d. Benefit 15%
 - Will the completed Project produce significant new knowledge and/or innovative economic, commercial, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?

E6. Funding

E6.1 Level and Period of Funding

E6.1.1 The minimum level of funding provided for a Project by the ARC under the *Discovery Indigenous* scheme is \$30,000 per year and the maximum is \$500,000 per year.

- E6.1.2 A Proposal cannot request funding for a Discovery Australian Aboriginal and Torres Strait Islander Award (DAATSIA) only. If a Proposal requests a DAATSIA, the minimum level of funding of \$30,000 per year in project costs must be requested in addition to the DAATSIA salary component detailed at E8.2.4. The \$500,000 maximum level of funding per year includes the DAATSIA.
- E6.1.3 A DAATSIA Recipient may apply for further DAATSIA's but can only hold one at a time.
- E6.1.4 A Project may be applied for and awarded ARC funding for up to five consecutive years. A Proposal must request ARC funding in all years of the Project.

E6.2 Budget Items Supported

- E6.2.1 Budget items supported are listed under subsection A5.2, subject to the following limitations:
- a. teaching relief for CIs may be supported up to a total of \$50,000 per year per Project.
 - b. travel costs essential to the Project may be supported, including economy travel costs for domestic and/or international travel, up to \$50,000 over the life of the Project. Travel costs related to carrying out Field Research are not included in this \$50,000 limit on travel. This limit does not include any carers' costs in travel.
 - c. higher degree by research stipends may be supported for up to two Indigenous Australian students enrolled at the Administering Organisation or another Eligible Organisation per Proposal.
- E6.2.2 In addition, stipends may be requested to support Indigenous Australian Honours students, subject to the policies of the Administering Organisation.
- E6.2.3 All eligible requested funding must be justified in the Proposal to the satisfaction of the ARC.

E7. Roles and Eligibility for Researchers

E7.1 Researcher Roles and General Eligibility

- E7.1.1 A Proposal must nominate at least one CI; the first-named CI must be an Indigenous Australian researcher as defined in E3 and will be the Project Leader.

E7.2 Eligibility Criteria for Chief Investigators (CI)

- E7.2.1 As at 1 January 2018 a researcher nominated on a Proposal as a CI must meet at least one of the following criteria:
- a. be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or
 - b. be a holder of an Emeritus Appointment (as defined in A3) at 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*.

- E7.2.2 A CI must normally 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.
- E7.2.3 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.
- E7.2.4 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 the Project still includes at least one CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.
- E7.2.5 If a Proposal with a sole CI has been approved for funding and that CI is, at any time, no longer able to work as proposed on the Project, the Project must be terminated.

E7.3 Eligibility Criteria for Partner Investigators (PIs)

- E7.3.1 As at 1 January 2018 a researcher nominated as a PI on a Proposal must:
 - a. not meet the eligibility criteria for CI
 - b. The PI 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 undertaken by others.

PIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their PI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

- E7.3.2 A researcher who is an employee of an Eligible Organisation listed in A12 who does not reside predominantly in Australia may be a PI.

E8. Discovery Australian Aboriginal and Torres Strait Islander Award (DAATSIA)

E8.1 Eligibility Criteria for a Discovery Australian Aboriginal and Torres Strait Islander Award (DAATSIA)

- E8.1.1 A DAATSIA Candidate must:
 - a. be an Indigenous Australian researcher as defined in E3
 - b. satisfy the eligibility criteria for a CI at E7.2.
- E8.1.2 A DAATSIA candidate must demonstrate how the Project quality would be enhanced by a DAATSIA and detail the ways in which the additional

research time would be utilised (for example, undertaking sustained Field Research, archival research of laboratory work).

E8.1.3 A researcher can only request one DAATSIA in a scheme round.

E8.1.4 A DAATSIA Candidate must hold an appointment at the Administering Organisation for the duration of the Award.

E8.2 Level and Period of Funding for a DAATSIA

E8.2.1 A DAATSIA can be applied for and awarded for one to five years, noting that as per subsection E6.1.2 the minimum level of funding of \$30,000 per year in Project costs must be requested in addition to the DAATSIA salary component in any funding year.

E8.2.2 A CI awarded a DAATSIA will not be awarded teaching relief.

E8.2.3 DAATSIA funding may be used for other purposes to support the Project in changed circumstances with the approval of the ARC, without extension to the life of the Project. The use of DAATSIA funding for other purposes does not confer an exemption from the rules in A6.3.

E8.2.4 DAATSIA funding may be requested at one of five salary levels (2016\$), which is either equivalent to or higher than the salary level of the CI as at the closing date for submission.

DAATSIA Funding Levels	Salary	On-costs 30%	Total
DAATSIA Level 1 (1.0 FTE)	\$76,438	\$22,931	\$99,369
DAATSIA Level 2 (1.0 FTE)	\$89,927	\$26,978	\$116,905
DAATSIA Level 3 (1.0 FTE)	\$116,905	\$35,072	\$151,977
DAATSIA Level 4 (1.0 FTE)	\$134,892	\$40,468	\$175,360
DAATSIA Level 5 (1.0 FTE)	\$161,869	\$48,561	\$210,430

E8.2.5 The Administering Organisation must ensure a CI awarded a DAATSIA has access to periods of up to 14 weeks paid maternity leave where such leave is taken during the course of the ARC Award. The ARC will provide up to 14 weeks additional funding per period for this purpose, and the DAATSIA period will be extended for a period equivalent to the duration of paid and unpaid maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.

E8.2.6 The Administering Organisation must ensure a CI awarded a DAATSIA is entitled to take up to two weeks paid partner/parental leave at the time of birth or adoption to the partner/parent who is not identified as the primary caregiver during the duration of the ARC Award. The ARC will provide up

to two weeks additional funding for this purpose per period, and the DAATSIA period will be extended for a period equivalent to the duration of the paid and unpaid partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a Variation of Funding Agreement.

- E8.2.7 DAATSIAs are normally awarded for five years on a full-time basis, subject to sufficient funding being available and continued satisfactory progress of the DAATSIA as determined by the ARC. The ARC supports part-time employment for DAATSIAs subject to the employment conditions of the Administering Organisation.

E9. Host Organisations

- E9.1.1 A Proposal may identify no more than two Australian or international Host Organisations where a DAATSIA Candidate may, subject to the approval of the Administering Organisation, undertake research for up to twelve months in total over the life of the Project.
- E9.1.2 The Proposal must describe:
- a. the extent of the collaboration between the DAATSIA Candidate and the Host Organisation(s)
 - b. how the Host Organisation(s) will provide suitable resources for the DAATSIA Candidate.

Part F Scheme-specific rules for *Discovery Projects* for funding commencing in 2018

F1. Interpretation

Part F contains the scheme-specific rules for *Discovery Projects* for funding commencing in 2018.

F2. Commencement Date

- F2.1 The Funding Commencement Date for *Discovery Projects* for funding commencing in 2018 is 1 January 2018.
- F2.2 The Project Initialisation Date for *Discovery Projects* for funding commencing in 2018 will be the date that the relevant Project is executed in RMS.

F3. Additional Definition for Part F

- F3.1 For the purposes of this Part:
- Project Leader** means the first-named CI on a Proposal.

F4. Objectives

- F4.1 The objectives of the *Discovery Projects* scheme are to:
- support excellent basic and applied research by individuals and teams
 - encourage high-quality research and research training
 - enhance international collaboration in research
 - expand Australia's knowledge base and research capability
 - enhance the scale and focus of research in the Science and Research Priorities.

F5. Selection Criteria

- F5.1 Proposals will be assessed and ranked using the following selection criteria:
- Investigator(s) 40%
 - Research opportunity and performance evidence (ROPE); and
 - Time and capacity to undertake the proposed research.
 - Project Quality and Innovation 35%
 - Does the research address a significant problem?
 - Is the conceptual/theoretical framework innovative and original?
 - What is the potential for the research to contribute to the Science and Research Priorities?
 - Will the aims, concepts, methods and results advance knowledge?

- What is the potential for the research to enhance international collaboration?
 - Are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?
- c. Feasibility 10%
- Do the Project's design, participants and requested budget create confidence in the timely and successful completion of the Project?
 - Is there an existing, or developing, supportive and high quality environment for this Project and for Higher Degree by Research students where appropriate?
 - Are the necessary facilities available to complete the Project?
- d. Benefit 15%
- Will the completed Project produce significant new knowledge and/or innovative economic, commercial, environmental, social and/or cultural benefit to the Australian and international community?
 - Will the proposed research be cost-effective and value for money?

F6. Funding

F6.1 Level and Period of Funding

- F6.1.1 The minimum level of funding provided by the ARC under *Discovery Projects* is \$30,000 per year of funding and the maximum is \$500,000 per year of funding per Project.
- F6.1.2 A Project may be applied for and awarded ARC funding for up to five consecutive years. A Proposal must request ARC funding in all years of the Project.

F6.2 Budget Items Supported

- F6.2.1 Budget items supported are listed under subsection A5.2, subject to the following limitations:
- a. teaching relief for CIs may be supported up to a total of \$50,000 per year per Project
 - b. travel costs essential to the Project may be supported, including economy travel costs for domestic and/or international travel, up to \$50,000 over the life of the Project. Travel costs related to carrying out Field Research are not included in this \$50,000 limit on travel. This limit does not include any carers' costs in travel.
- F6.2.2 In addition, Discovery International Awards (DIAs) will be funded as a Special Condition and may be requested:
- a. for up to two researchers (either CIs or PIs) per Proposal

- b. for a CI to work overseas on the Project with an overseas based PI subject to F7.2.3 of these Funding Rules, and/or a PI based overseas to work in Australia on the Project. Preference will be given to overseas-based PIs to travel to Australia for collaborative research. DIAs do not fund travel to Australia by PIs located at an overseas campus of an Australian Eligible Organisation
- c. to fund the following items: travel on international return economy class airfares, reasonable local travel, a living allowance and consumables. The living allowance should be based on standard institutional rates for academic visitors.

F7. Roles and Eligibility for Researchers

F7.1 Additional Eligibility Requirements for *Discovery Projects*

F7.1.1 Roles that may be undertaken by researchers are:

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

F7.1.2 A Proposal must nominate at least one CI; the first named CI will be the Project Leader.

F7.2 Eligibility Criteria for Chief Investigators (CIs)

F7.2.1 As at 1 January 2018 a researcher nominated on a Proposal as a CI must meet at least one of the following criteria:

- a. be an employee for at least 0.2 FTE (20 per cent of Full Time Equivalent) at an Eligible Organisation; or
- b. be a holder of an Emeritus Appointment (as defined in A3) at 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*.

F7.2.2 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.

F7.2.3 A CI must normally 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.

F7.2.4 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 the Project still includes at least one CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.

- F7.2.5 If a Proposal with a sole CI has been approved for funding and that CI is, at any time, no longer able to work as proposed on the Project, the Project must be terminated.

F7.3 Eligibility Criteria for Partner Investigators (PIs)

- F7.3.1 As at 1 January 2018 a researcher nominated as a PI on a Proposal must:
- a. not meet the eligibility criteria for CI
 - b. 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 undertaken by others.

PIs on successful Projects will be required to retain their eligibility for the duration of the Project in order to retain their PI status. Any changes to personnel and/or roles must be approved by the ARC via a *Variation of Funding Agreement*.

- F7.3.2 A researcher who is an employee of an Eligible Organisation listed in A12 who does not reside predominantly in Australia may be a PI.
- F7.3.3 If a Proposal has been approved for funding and a PI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided any replacement PI meets the PI eligibility criteria and is approved by the ARC via a *Variation of Funding Agreement*.