



Australian Government

Australian Research Council

Funding Rules for schemes under the Discovery Programme 2016—Future Fellowships

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 23 January 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](#) at for key dates and updates relevant to these Funding Rules.

Contacts

Researchers are **required to** direct requests for information to the Research Office within their organisation.

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

Appeals must be addressed and sent:

by mail to:

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

by courier to:

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Canberra Airport
CANBERRA ACT 2609

Or 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—Future Fellowships*.

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:

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. Funding under the Discovery Programme is provided to Administering Organisations, not to individual researchers.

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.

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.

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

Commencement Date means the date on which funding commences as defined for each scheme in Part B of 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.

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 a Proposal. These positions are typically held by former academic staff members that 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. A person will not be considered to hold an Emeritus Appointment if they are in paid employment 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.

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 from time to time 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 via the [ORCID](#) website.

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.

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

Project Research Environment means the laboratory, department, school, centre or institute within the Administering Organisation and other organisations if applicable where research will be undertaken, and which provides opportunities for knowledge growth, innovation, collaboration, mentoring and student training and support.

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 Eligible Organisation that is responsible for administrative contact with the ARC regarding Proposals and Projects.

RMS means the ARC's online Research Management System.

Selection Advisory Committee (SAC) means a group of experts 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 via the [ARC website](#).

UA means Universities Australia.

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

A4. Introduction

A4.1 Overview

- A4.1.1 These Funding Rules are a legislative instrument current as at the date of signing by the Minister and have been prepared in accordance with the requirements of the ARC Act in force then.
- A4.1.2 These Funding Rules relate to schemes funded under the Discovery Programme of the ARC's 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, and
 - d. research in priority areas.
- A4.1.4 The Discovery Programme schemes provide funding to Administering Organisations to support research Projects.
- A4.1.5 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the NCGP.
- A4.1.6 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.

A4.2 Research/Activities Supported

- A4.2.1 For the purposes of these Funding Rules, research is defined 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.
- A4.2.2 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.

- A4.2.3 Except where such activities meet the definition of research in subsection A4.2.1, 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; or
 - c. teaching materials.
- A4.2.4 The Discovery Programme does not support Medical Research, as defined in section 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 The ARC will not duplicate funding for research or research infrastructure funded by the Commonwealth.
- A5.1.5 The Proposal must list all current funding and requested funding for each participant under any ARC scheme and any other Commonwealth funding scheme.
- A5.1.6 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 Workshop Services linked to and justified explicitly against the Project (for example, machine tools and qualified technicians);

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

- c. expenditure on Field Research essential to the Project, including technical and logistical support, and travel and accommodation costs;
- d. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Project. Such services include, but are not limited to:
 - i. language translation services, transcribing services;
 - ii. purchase of bibliographical or archival material (electronic or hard copy); and
 - iii. data collection and analysis services;
- e. equipment (and its maintenance) and consumables required for the Project. Funding will not be provided for equipment or consumables that are deemed to be for broad general use;
- f. 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 (HDR) stipends at a rate of \$25,861 per year (2015\$);
- h. publication and dissemination of Project outputs and outreach activity costs;
- i. specialised computer equipment and software essential to the Project;
- j. teaching relief for CIs (not available for recipients of ARC Awards or Fellowships);
- k. travel costs essential to the Project, as defined for the scheme in Part B;
- l. web hosting and web development specific to the Project; and
- m. workshops, focus groups and conferences (including reasonable hospitality costs such as morning tea, lunch and afternoon tea) that are necessary for the conduct of the proposed research.

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 Part B of these Funding Rules.

A5.3 Budget Items Not Supported

A5.3.1 Budget items which will not be supported by ARC funding and must 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, costs of dependants, entertainment costs, insurance, and other indirect costs;
 - d. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students; and
 - e. salaries and/or on-costs and/or HDR 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. provision of basic computer facilities and standard software; and
 - e. standard reference materials or funds for abstracting services.
- A5.3.3 For all other scheme-specific budget items not supported, refer to Part B of these Funding Rules.

A6. General Eligibility Requirements

A6.1 Eligible Organisations

- A6.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation listed at section 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 Limits on Projects and Proposals

- A6.2.1 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.
- A6.2.2 CIs on funded ARC Centres of Excellence commencing in 2017 or later, Industrial Transformation Research Hubs commencing in 2015 or later, Industrial Transformation Training Centres commencing in 2016 or later, or Special Research Initiatives commencing in 2015 or later may only apply for or hold one Project/Award/Fellowship under the Discovery Programme.

- A6.2.3 These limits do not apply to Partner Investigators, or to other participants on Projects such as higher degree by research students and research assistants.
- A6.2.4 A researcher cannot concurrently hold more than one ARC Fellowship or Award, and a holder of an ARC Fellowship or Award cannot concurrently hold a Fellowship from another Commonwealth funding agency. Successful ARC Fellows or Awardees will be **required to** relinquish other Commonwealth fellowships prior to the commencement of the ARC Fellowship or Award.
- A6.2.5 A recipient of an ARC Fellowship or ARC Award cannot apply for a subsequent Fellowship or Award in the same scheme.
- A6.2.6 A Proposal may only be submitted for funding that the researcher would be eligible to hold under these rules as at the Commencement Date of the Project/Fellowship/Award being applied for. The ARC will calculate this rule as at the closing time of submission of Proposals, by totalling:
- the number of current Discovery Programme CI roles, Fellowships or Awards, in addition to roles referred to in A6.2.2, for which the researcher will remain funded as at the Commencement Date of the funding being applied for; and
 - the number of Discovery Programme Proposals submitted to the ARC which include that researcher as a CI, Fellow or Award recipient.

Notwithstanding the above, an Australian Laureate Fellowships proposal will not be ruled ineligible due to this subsection. A successful Australian Laureate Fellow will be **required to** relinquish existing projects in order to comply with subsection A6.2.1 and A6.2.2 after the award of the Australian Laureate Fellowship.

- A6.2.7 For eligibility purposes a currently funded Project is considered to be funded for the years set out in the original Funding Agreement.
- A6.2.8 Except for Australian Laureate Fellowships proposals, relinquishments of existing Discovery Programme CI roles, Fellowships or Awards that are approved after the closing time of submission of Proposals will not be taken into account for the purposes of calculating the limits in this section.

A6.3 Eligibility process

- A6.3.1 The ARC will assess whether a Proposal meets the requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.
- A6.3.2 A decision under subsection A6.3.1 may be made by the ARC at any stage during assessment of the Proposal and may result in non-progression of the Proposal through the assessment process.
- A6.3.3 For additional scheme-specific eligibility requirements refer to Part B of these Funding Rules.

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 form completed within RMS must be submitted by the relevant scheme closing date and time 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; and
 - b. ranked and allocated a budget, relative to other Proposals, by the ARC College of Experts or a Selection Advisory Committee (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. not meeting the eligibility requirements set out in these Funding Rules; or
 - b. providing incomplete, inaccurate or misleading information.
- A8.1.5 Following the recommendations of the ARC College of Experts or a SAC, the CEO will make recommendations to the Minister in relation to which Proposals could be approved for funding, which Proposals may 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 a SAC, members of other ARC Committees and ARC staff.

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

Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a [Request Not to Assess](#) as detailed on the ARC website. This form must be received by the ARC by 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 may be submitted per Proposal and any request containing more than three individual assessors to be excluded for a Proposal must be directly supported in writing by the Deputy Vice-Chancellor (Research) or equivalent of the Administering Organisation with evidence justifying the exclusion of all assessors requested.

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.
- A8.4.4 Administering Organisations whose Proposals are approved will be notified in a letter of offer that will indicate the funding to be offered and provided with a copy of a Funding Agreement for signing.
- 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 on the [ARC Appeals Form](#) on the ARC website, authorised by a Deputy Vice-Chancellor (Research) or equivalent. Appeals must be received **within**

28 days of the date of the notification to the Administering Organisation of the outcome of Proposals. The ARC will not accept appeals later than 5.00 pm (AEDT/AEST) on the appeals submission due date.

- A9.4 Appeals must be sent to the Appeals address advised at the beginning of these Funding Rules. The ARC will accept both electronic and hard copy Appeal submissions.
- 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.

A10.1 End of Year Reports and Progress Reporting

- A10.1.1 The Administering Organisation must submit an End of Year Report by 31 March in the year following each calendar year for which the Funding was awarded, in accordance with the instructions to be provided by the ARC each year.
- A10.1.2 The Progress Report must only be completed if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.
- A10.1.3 If the ARC is not satisfied with the progress of any Project, further payment of Funds will 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 this report 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 approved carryover of funds. 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 at 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 publications 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 their 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 UA.
- 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 ARC personnel to third parties to enable effective management or auditing of the Discovery Programme schemes or any Funding Agreement;
 - c. 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](#);

- d. disclosed by the ARC to the relevant Minister and their staff;
- e. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth's legitimate interests;
- f. authorised or required by law to be disclosed;
- g. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or
- h. in the public domain.

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 at 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 must 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 must ensure that applicants for ARC funding are familiar with the current intellectual property landscape for 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.

A11.5 Publication and Dissemination of Research Outputs

- A11.5.1 All ARC-funded research projects must comply with the [ARC Open Access Policy](#) on the dissemination of research findings. In accordance with this policy, any publications arising from a Project must be deposited into an open access institutional repository within a twelve month period from the date of publication. When depositing publications in an institutional repository 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). The ARC considers data management planning an important part of the responsible conduct of research and strongly encourages the depositing of data arising from a Project in an appropriate publically accessible subject and/or institutional repository.
- A11.5.3 The ARC encourages all researchers applying for funding to have an ORCID identifier.

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 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; or
 - h. failing to disclose to the Administering Organisation the existence, and nature, of actual or potential Conflicts of Interest of any of the parties involved in the Proposal/Project (such as any affiliations or financial interest in any organisation that has a direct interest in the matter or outputs of the Project).

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 the Sunshine Coast
University of Southern Queensland

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)

Part B Scheme-specific rules for Future Fellowships for funding commencing in 2016

B1. Interpretation

Part B contains the scheme-specific rules for Future Fellowships for funding commencing in 2016.

B1.1 Commencement Date

The Commencement Date for Future Fellowships for funding commencing in 2016 is 1 July 2016.

B2. Additional Definitions for Part B

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

Eligibility Exemption Request is for the purposes of obtaining an exemption from the ARC regarding the eligibility of a prospective Proposal.

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.

B3. Introduction to Future Fellowships

B3.1 Objectives

B3.1.1 The objectives of the *Future Fellowships* scheme are to:

- a. ensure that outstanding mid-career researchers are recruited and retained, by Administering Organisations in continuing academic positions.
- b. build collaboration across industry and/or research organisations and/or disciplines;
- c. support research in national priorities that will result in economic, environmental, social and/or cultural benefits for Australia; and
- d. strengthen Australia's research capacity by supporting innovative, internationally competitive research.

- B3.1.2 Under the *Future Fellowships* scheme up to 100 four year awards will be offered each year. Preference will be given to Australian Researchers.

B3.2 Selection Criteria

- B3.2.1 Proposals will be assessed and ranked using the following selection criteria:

- a. Future Fellowship Candidate—40%

Future Fellowship Level 1 and 2	Future Fellowship Level 3
- 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.	- 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 Project represent value for money?
- Does the proposed Project address Science and Research Priorities?
- Will the proposed Project involve multidisciplinary work?
- 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. Strategic Alignment—15%
 - 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. Collaboration/Outreach—10%
 - 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?

B3.3 Statement by the Administering Organisation outlining Strategic Alignment

- B3.3.1 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; and
 - d. is signed by the Deputy Vice-Chancellor (Research) or equivalent.

B4. Funding

B4.1 Level and Period of Funding

- B4.1.1 A Future Fellowship may be requested and/or awarded at one of three salary levels and salary-related (on-cost) funding.
- B4.1.2 A Future Fellowship will be funded for four (4) years on a full-time basis.

- B4.1.3 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 B4.2.
- B4.1.4 Funding for approved Projects will commence with effect on 1 July 2016, unless other arrangements are approved by the ARC.

B4.2 Budget Items Supported

- B4.2.1 In addition to the items supported under section A5.2, funding provided by the ARC may be used for items which directly support the Future Fellowship Candidate's research, including:
- a. 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;
 - b. higher degree by research stipends, at a rate of \$25,861 (2015\$) per annum (up to one per Proposal) for students enrolled at Eligible Organisations; and
 - c. 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.
- B4.2.2 All eligible requested funding costs must be justified in the Proposal to the satisfaction of the ARC.

B4.3 Budget Items Not Supported

- B4.3.1 A list of budget items which will not be supported by ARC funding and must not be requested in the budget is provided at A5.3.

B5. Host Organisations

B5.1 Host Organisations General Requirements

- B5.1.1 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.
- B5.1.2 Each Proposal may identify one or more Host Organisations which do not have to be Eligible Organisations listed in section A12.
- B5.1.3 The Proposal must describe:
- a. the extent of the collaboration between the Future Fellowship Candidate and the Host Organisation(s);
 - b. the extent to which the Host Organisation(s) will accommodate the Future Fellowship Candidate; and

- c. how the Host Organisation(s) will provide a suitable Research Environment for the Future Fellowship Candidate.
- B5.1.4 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.

B6. Scheme specific Eligibility Requirements

B6.1 Application Limits

- B6.1.1 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.
- B6.1.2 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.

B6.2 Future Fellowship Candidate and Role

- B6.2.1 The Future Fellow must be an employee at the Administering Organisation for the duration of the Fellowship.
- B6.2.2 The Future Fellow is expected to spend a minimum of 20 per cent of her/his time at the Administering Organisation.
- B6.2.3 The Future Fellow is expected to spend a minimum of 80 per cent of her/his time on research activities related to the proposed Future Fellowship.
- B6.2.4 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 B6.2.6.
- B6.2.5 A Future Fellowship Candidate must take responsibility for:
 - a. the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant; and
 - b. the conduct of the Project, and any strategic decisions required in its pursuit and the communication of its results.
- B6.2.6 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*.

- B6.2.7 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 maternity leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- B6.2.8 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 partner/parental leave. The funding for this purpose is to be claimed by the Administering Organisation through submission of a *Variation of Funding Agreement*.
- B6.2.9 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.

B6.3 Eligibility Criteria for the Future Fellow

- B6.3.1 A Proposal must only nominate one Future Fellowship Candidate.
- B6.3.2 A Future Fellowship Candidate must:
- a. have been awarded a PhD on or between 1 March 2001 and 1 March 2011; or
 - b. have obtained approval from the ARC, via the submission of an Eligibility Exemption Request pursuant to the process outlined in subsection B6.5 for:
 - i. In the absence of a PhD, recognition of research experience that can be justified as equivalent to a PhD, gained between 1 March 2001 and 1 March 2011;
 - ii. having been awarded a PhD on or after 1 March 1994, together with periods of significant career interruption (between the PhD award date and the closing time of submission of Proposals) which

if taken into account would be commensurate with a PhD being awarded on or after 1 March 2001. Applications for the variation of timing will not be approved if the researcher was awarded their PhD after 1 March 2011 or before 1 March 1994 except as provided for in subsection B6.5.5.

- B6.3.3 If the Future Fellowship Candidate holds a degree other than a PhD which it is believed is equivalent to a PhD, it is the Administering Organisation's responsibility to ensure 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.
- B6.3.4 If the award date falls outside of the timing requirements outlined in subsection B6.3.2.a, the Future Fellowship Candidate must submit an Eligibility Exemption Request pursuant to the process outlined in subsection B6.5.
- B6.3.5 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 Award.
- B6.3.6 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.
- B6.3.7 At the closing time of submission of Proposals, all obligations regarding previously funded ARC Projects involving the Future Fellowship Candidate must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Final reports.
- B6.3.8 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 placed in the hands of others.
- B6.3.9 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.
- B6.3.10 The Future Fellow cannot begin another ARC Fellowship or Award until the entire Future Fellowship salary component has been expended.

B6.4 Salary Levels

- B6.4.1 A Future Fellowship salary must be requested and will be awarded at one of three salary levels (2015\$) (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 B6.4.2 and B6.4.3.

Table 1: Future Fellowship Salary Levels (2015\$)

Current Academic Level (or equivalent)	Future Fellowship Salary Level to be requested	Salary	On-costs 30%	Total
Level B or below	Future Fellowship Level 1 (1.0 FTE)	\$113,740	\$34,122	\$147,862
Level C	Future Fellowship Level 2 (1.0 FTE)	\$137,686	\$41,306	\$178,992
Level D or above	Future Fellowship Level 3 (1.0 FTE)	\$161,631	\$48,489	\$210,120

- B6.4.2 Where the Future Fellowship Candidate is unemployed, is not employed at an Australian university, or is an international researcher, the academic level applicable must be fully justified by the DVCR or equivalent.
- B6.4.3 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 DVCR or equivalent.
- B6.4.4 The ARC has the absolute discretion in determining the requirements outlined in subsection B6.4.2 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.

B6.5 Eligibility Exemption Requests

- B6.5.1 An Eligibility Exemption Request, including all supporting documentation as detailed on the [ARC website](#), must be submitted to the ARC by the closing date and time on the Important Dates page on the [ARC website](#), unless otherwise advised.
- B6.5.2 Eligibility Exemption Requests received after the closing date and time will only be considered in exceptional circumstances.
- B6.5.3 The ARC may grant an Eligibility Exemption for the Future Fellowship Candidate who has been awarded a PhD on or after 1 March 1994, together with periods of significant career interruption (between the PhD award date and the closing time of submission of Proposals) which if taken into account would be commensurate with a PhD being awarded on or after 1 March 2001. Career interruptions of less than one month will not be considered. The following types of interruption will be considered:
- carer's responsibility;

- b. disruption due to international relocation for post-doctoral studies or other research employment not exceeding three months per international relocation;
 - c. illness;
 - d. maternity or parental leave;
 - e. unemployment;
 - f. non-research employment not concurrent with research employment;
 - g. for the primary carer of a dependent child (inclusive of carer's responsibility and any maternity or partner/parental leave), two years per dependent child.
- B6.5.4 Candidates claiming an interruption under B6.5.3(g) may claim a two year interruption for each dependent child and may be eligible where their PhD was awarded earlier than 1 March 1994, provided that where eligible interruptions are taken into account this would be commensurate with a PhD being awarded on or after 1 March 2001.
- B6.5.5 The ARC may grant an Eligibility Exemption for the Future Fellowship Candidate where evidence can be provided to indicate that the Future Fellowship Candidate's research experience is equivalent to a PhD obtained and within the time limits (see subsection B6.3.2b).