Funding Rules for schemes under the Linkage Program for 2014 – Special Research Initiative for Antarctic Gateway Partnership

Australian Research Council Act 2001

I, Christopher Pyne, Minister for Education, 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 15 September 2014

Christopher Pyne
Minister for Education
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Funding Rules for schemes under the Linkage Program for 2014 – Special Research Initiative for
Antarctic Gateway Partnership
Key Dates
Please refer to the Important Dates page on the ARC website at www.arc.gov.au/media/important_dates.htm for key dates and updates relevant to these Funding Rules.

Contacts
Researchers should direct requests for information to the Research Office within their organisation.

ARC Contacts can be located on the ARC website at www.arc.gov.au.

Appeals must be addressed and sent:

by mail to: or by courier to:

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

The Appeals Officer
Australian Research Council
Level 2, 11 Lancaster Place,
Majura Park
CANBERRA ACT 2609

Or by email to: appeals@arc.gov.au
Part A - General Rules for schemes under the Linkage Program

A1. Name of Funding Rules
These Funding Rules are the Australian Research Council Funding Rules for schemes under the Linkage Program for 2014 – Special Research Initiative for Antarctic Gateway Partnership.

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 Linkage Program is provided to Administering Organisations, not to individual researchers.

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


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.

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

Commencement Date means the scheme-specific date on which funding commences as defined 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 at www.arc.gov.au.
Eligible Organisation means an organisation listed at B7.1 of these Funding Rules.

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.

Linkage Program, for the purposes of eligibility, refers to the schemes funded under the Linkage Program of the National Competitive Grants Program (NCGP) which consists of: Linkage Projects, Linkage Infrastructure, Equipment and Facilities, the Industrial Transformation Research Program, Special Research Initiatives, the ARC Centres of Excellence, Learned Academies Special Projects and other schemes as updated from time to time.

Medical and Dental Research as defined in the ARC Medical Research Policy available on the ARC website at www.arc.gov.au.

Minister means the Minister from time to time responsible for the administration of the ARC Act.

NCGP means the ARC’s National Competitive Grants Program.

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 the Funding Rules.

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

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

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

Additional scheme-specific definitions are stated in Part B of these Funding Rules.

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 the Special Research Initiative for Antarctic Gateway Partnership for funding commencing in 2014 funded under the Linkage Program of the ARC’s National Competitive Grants Program (NCGP). The Linkage Program supports the growth of research partnerships between university-based researchers and researchers in other sectors in Australia and overseas that generate new knowledge, technologies and innovations.

The objectives of the Linkage Program are to deliver outcomes of benefit to Australia and build Australia’s research and innovation capacity through support for:

a. collaborative research between university-based researchers and researchers in other sectors;

b. research training and career opportunities that enable Australian and international researchers and research students work with industry and other end-users; and

c. research in priority areas.

A4.1.3 The Linkage Program schemes provide funding to Administering Organisations to support research Projects.

A4.1.4 The ARC undertakes periodic evaluations of the performance and administration of the schemes under the NCGP.
A4.1.5 The Key Performance Indicators (KPIs) for the Linkage Program are specified each year in the ARC Portfolio Budget Statements and the ARC Strategic 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”\(^1\).

A4.3 Research/Activities Not Supported
A4.3.1 Except where such activities meet the definition of research in subsection A4.2.1, the Linkage Program 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.

A4.3.2 The Linkage Program does not support Medical and Dental 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 scheme-specific level and period of funding as well as details on supported budget items are provided at Part B of 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 Administering Organisation is responsible for any and all financial and taxation implications associated with receiving funds.

A5.2 Budget Items Not Supported

A5.2.1 Budget items which will not be supported by ARC funding and should not be requested in the budget include:

a. capital works and general infrastructure, in whole or in part;

b. bench fees or similar laboratory access fees;

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 dependents, entertainment costs, hospitality costs, insurance, and other indirect costs;

d. fees for international students or Higher Education Loan Program (HELP) liabilities for students; and

e. salaries and/or on-costs, in whole or in part, for CIs.

A5.2.2 The following basic facilities must be provided and funded by the Administering Organisation:

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.

A6. Organisation General Eligibility Requirements

A6.1 Eligible Organisations

A6.1.1 A Proposal may only be submitted through the Research Office of an Eligible Organisation.

A6.1.2 The Eligible Organisation that submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Other Eligible Organisations. A Proposal may only be submitted once in the same funding scheme round regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.
A7. **Participant General Eligibility Requirements**

**A7.1 Eligibility Criteria for Participants**

A7.1.1 All named participants nominated in a Proposal must satisfy the eligibility criteria for the role they are to perform as at the scheme-specific Commencement Date and for the duration of the Project.

A7.1.2 If the ARC considers that a participant nominated in a Proposal does not meet the eligibility criteria for the role that participant is to perform, the Proposal may be deemed ineligible.

A7.1.3 All named participants nominated in a Proposal must take responsibility for the authorship and intellectual content of the Proposal, appropriately citing sources and acknowledging significant contributions where relevant.

A7.1.4 At the time of the submission of a Proposal, all obligations regarding previously funded Projects involving the named participants nominated on the Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

**A8. Eligibility process**

A8.1.1 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.

A8.1.2 A decision under subsection A8.1.1 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.

A8.1.3 For additional scheme-specific eligibility requirements refer to Part B of these Funding Rules.

**A9. Submission of Proposals**

**A9.1 Proposals**

A9.1.1 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.

A9.1.2 All details in the Proposal must be current at the time of submission.

**A9.2 Submission of Proposals**

A9.2.1 All Proposals must meet the relevant format, content and submission requirements, including certification.
### A9.3 Closing Time for Proposals

A9.3.1 The completed form must be submitted by the relevant scheme closing date and time on the Important Dates page on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).

A9.3.2 Additions, deletions and modifications will not be accepted after submission, unless invited by the ARC.

A9.3.3 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.

### A9.4 Certification

A9.4.1 The Administering Organisation must certify the submission of a Proposal.

A9.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.

### A9.5 Conflict of Interest

A9.5.1 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.

A9.5.2 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 NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research* (2007), the *ARC Conflict of Interest and Confidentiality Policy* and any relevant successor documents.

A9.5.3 As part of the certification at A9.4.1, the Administering Organisation must certify that all Conflicts of Interest have been disclosed in accordance with A9.5.1, and that any Conflict of Interest will be managed in accordance with A9.5.2.

### A10. Selection and Approval Process

#### A10.1 Assessment and Selection Process

A10.1.1 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.

A10.1.2 All Proposals will be considered against the eligibility criteria for the relevant scheme and compliance with these Funding Rules.

A10.1.3 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 SAC, on the basis of the Proposal, any assessors’ reports and any rejoinder.

A10.1.4 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 criteria set out in these Funding Rules; or
b. providing incomplete, inaccurate or misleading information.

A10.1.5 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 should be approved for funding, which Proposals should not be approved for funding, and the level of funding and duration of Projects.

A10.1.6 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 at www.arc.gov.au/about_arc/coe_guidelines.htm#conflict.

A10.1.7 For all other scheme-specific requirements relating to the assessment and selection process, refer to Part B of these Funding Rules.

A10.2 Rejoinder

A10.2.1 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.

A10.3 Request Not to Assess

A10.3.1 Administering Organisations may name any person or persons whom they do not wish to assess a Proposal by submitting a ‘Request Not to Assess’ form as detailed on the ARC website at www.arc.gov.au. 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 at www.arc.gov.au.

While the ARC may accommodate such requests, only one (1) request may be submitted per Proposal and any request containing more than three (3) 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.

A10.4 Recommendations and Offer of Funding

A10.4.1 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.

A10.4.2 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.
A10.4.3 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.

A10.4.4 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.

A10.4.5 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.

A11. Appeals Process

A11.1.1 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.

A11.1.2 Appeals will be considered only against administrative process issues and not against committee decisions, assessor ratings and comments or the assessment outcome.

A11.1.3 Appeals must be submitted by the Administering Organisation on the ARC Appeals Form on the ARC website at www.arc.gov.au, 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.

A11.1.4 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.

A11.1.5 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.

A12. Reporting Requirements

Details of ARC reporting requirements can be found on the ARC website at www.arc.gov.au. For additional scheme-specific reporting requirements, refer to Part B of these Funding Rules.

A12.1 Progress Reports

A12.1.1 When required, Progress Reports must be submitted by 31 March in the year following each calendar year for which the funding was awarded as directed by the ARC.

A12.1.2 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.

A12.2 End of Year Reports
A12.2.1 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.

A12.3 Final Report
A12.3.1 A Final Report must be submitted for the Project within twelve (12) months of the final payment or within twelve (12) months of the final approved carryover of funds.
A12.3.2 The Final Report must address compliance with the ARC Open Access Policy as detailed at A13.5.
A12.3.3 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.
A12.3.4 The ARC may also seek additional information about subsequent publications after submission of the Final Report.

A13. Fundamental Principles of Conducting Research
A13.1 Ethics and Research Practices
A13.1.1 All Proposals and ARC-funded research projects must conform to the principles outlined in the following and their successor documents:
   a. NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007);
   b. as applicable, the NHMRC/ARC/UA National Statement on Ethical Conduct in Human Research (2007, updated 2014);
   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 (2011); and
   e. 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.
A13.1.2 If there is any conflict between a successor document and its predecessor, then the successor document prevails to the extent of any inconsistency.
A13.2 Applicable Law

A13.2.1 The ARC is required to comply with the requirements of the Privacy Act 1988, the Freedom of Information Act 1982 and the Criminal Code 1995.

A13.3 Confidentiality

A13.3.1 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 Linkage Program schemes or any Funding Agreement;

c. disclosed by the ARC to the relevant Minister(s) and their staff;

d. shared by the ARC within the agency, or with another Commonwealth Department or agency, where this serves the Commonwealth’s legitimate interests;

e. authorised or required by law to be disclosed;

f. disclosed in accordance with any other provision of these Funding Rules or the Funding Agreement; or

g. in the public domain.

A13.3.2 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.

A13.3.3 In addition to the exemptions listed at A13.3.1, the ARC may publicise and report offers or awards of funding, including the following information about the proposed Project: the name of the Administering Organisation and any other parties involved in or associated with the Project; named participants and their organisations; the proposed research program (the title and summary descriptions of the Project); 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).

A13.3.4 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.
A13.4  **Intellectual Property**

A13.4.1 The ARC does not claim ownership of any intellectual property in a Proposal or in any research arising from a Project.

A13.4.2 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. 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 documents are available on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).

A13.5  **Publication and Dissemination of Research Outputs**

A13.5.1 All Proposals and ARC-funded research projects must comply with the ARC Open Access Policy on the dissemination of research findings, which is available at [www.arc.gov.au](http://www.arc.gov.au). In accordance with this policy, any publications arising from a Project must be deposited into an open access institutional repository within a twelve (12) month period from the date of publication.

A13.5.2 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.

A13.6  **Misconduct, Incomplete or Misleading Information**

A13.6.1 If the ARC considers that a Proposal is incomplete, inaccurate or contains false or misleading information, or involves misconduct, the ARC may in its absolute discretion decide to recommend that the Proposal not be approved for funding.

A13.6.2 A decision under subsection A13.6.2 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.

A13.6.3 Examples of misleading information and misconduct include:

a. providing fictitious research opportunity and performance evidence;

b. plagiarism;

c. making false claims in relation to 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).
Part B – Scheme-specific rules for the Special Research Initiative for Antarctic Gateway Partnership for funding commencing in 2014

B1. Interpretation

Part B contains the scheme-specific rules for the Special Research Initiative for Antarctic Gateway Partnership for funding commencing in 2014.

The Commencement Date for the Special Research Initiative for Antarctic Gateway Partnership for funding commencing in 2014 is 1 July 2014.

B2. Additional definitions for Part B

Partner Organisation means an organisation which is not an Eligible Organisation, but which is identified in the Proposal as a contributor to the Program.

Program means a Proposal submitted under the Special Research Initiative for Antarctic Gateway Partnership approved by the Minister to receive funding from the ARC.

Program Leader means the first-named CI on a Special Research Initiative for Antarctic Gateway Partnership Proposal.

B3. Objectives

B3.1 The Special Research Initiative for Antarctic Gateway Partnership represents a 2014 Budget commitment by the Australian Government. The Initiative provides funding over three (3) years to support the establishment of an Antarctic Gateway Partnership at the University of Tasmania. The Partnership will be responsible for coordinating collaborative research relating to the Antarctic and Southern Ocean conducted by the Australian Antarctic Division, the CSIRO and the University of Tasmania.

B3.2 The successful Program will be led by the University of Tasmania as Administering Organisation. It will involve researchers with track records in quality research outcomes and coordinating team-based cross-disciplinary projects. The Partnership’s core functions will include:

a. building significant national progress towards coordinated collaboration in Antarctic and Southern Ocean research;

b. undertaking a well-defined, highly integrated and tightly budgeted research program focusing on the Antarctic and Southern Ocean;

c. supporting Antarctic and Southern Ocean research which is distinctly different, but complementary, to research in the same field conducted by organisations which are not signatories to the Partnership.

B3.3 A Proposal for the Special Research Initiative for Antarctic Gateway Partnership may be submitted only when invited by the ARC and must be by the date specified on the ARC website.
B4. Selection Criteria

B4.1 All Proposals which meet the eligibility criteria set out in these Funding Rules will be assessed and merit ranked using the following criteria:

a. Program Quality and Innovation 60%
   i. Does the research clearly address the identified objectives?
   ii. Does the Program involve high quality innovative national and international partnership(s)?
   iii. Is the conceptual/theoretical framework genuinely integrated, broad, cross-disciplinary, innovative and original?
   iv. Will the aims, concepts, methods and results advance knowledge and provide outcomes?

b. Feasibility, Benefit and Research Environment 30%
   i. Do the Program’s design, participants and requested budget create confidence in the timely and successful completion of the Program?
   ii. Will the completed Program produce innovative economic, environmental, social and/or cultural benefit to the Australian and international community?
   iii. Is the design of the Program and the expertise of the participants sufficient to ensure the Program can be completed within the proposed budget and timeframe?
   iv. Does the Program have a wide level of collaboration, including the development of national and international networks and linkages?
   v. Does the Program have an effective governance arrangement with the capacity to transcend disciplinary, geographical and institutional boundaries to achieve the Program’s vision?
   vi. Is there an existing, or developing, supportive and high quality research environment for this Program?
   vii. Are the necessary facilities available to complete the Program?
   viii. Are there adequate strategies to encourage dissemination, commercialisation, if appropriate, and promotion of research outcomes?

c. Investigator(s) 10%
   i. Research opportunity and performance evidence (ROPE); and
   ii. Time and capacity to undertake the proposed research.

B5. Funding

B5.1 Level and Period of Funding
B5.1.1 The level of funding provided by the ARC under the *Special Research Initiative for Antarctic Gateway Partnership* is $24,000,000 for three (3) years from 2014–2015 to 2016–2017 as follows: $8,000,000 in 2014–2015; $8,000,000 in 2015–2016, and $8,000,000 in 2016–2017.

B5.1.2 A Program may be applied for and awarded funding for up to three (3) consecutive years. A Proposal must request ARC funding in all years of the Program.

B5.1.3 Funding for the approved Program will commence effective 1 July 2014, unless other arrangements are approved by the ARC. Any funding awarded will be subject to sufficient funds being available for the Program, the provisions of the ARC Act and continued satisfactory progress of the Program.

B5.1.4 All budget items must be justified in the Proposal to the satisfaction of the ARC.

B5.2 **Budget Items Supported**

B5.2.1 Budget items which directly support the research Program may be funded under the *Special Research Initiative for Antarctic Gateway Partnership*, including:

a. 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 28 per cent on-costs;

b. higher degree by research stipends;

c. pro-rata costs for the use of specialised ocean-going vessels and other key science support capability such as aircraft, appropriate for the proposed Antarctic and Southern Ocean research;

d. where this does not duplicate c. above, expenditure on Field Research essential to the Program, including technical and logistical support, and travel and accommodation costs;

e. access to national and international research and infrastructure facilities including specialist archives, collections and databases;

f. access to Workshop Services linked to and justified explicitly against the Program (for example, machine tools and qualified technicians);

g. equipment (and its maintenance) and consumables required for the Program. Funding will not be provided for equipment or consumables that are deemed to be for broad general use;

h. travel costs essential to the Program, including economy travel costs for domestic and/or international travel associated with the Program, including to foster and to strengthen collaborations between researchers in Australia and overseas;

i. specialised computer equipment and software essential to the Program;
j. expert services of a third party if the services are deemed to be directly related to and necessary for the proposed Program. 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;

k. publication and dissemination of Program outputs and outreach activity costs;

l. web hosting and web development specific to the Program; and

m. workshops and conferences that are necessary for the conduct of the proposed research.

B5.3 Budget Items Not Supported

B5.3.1 Budget items which will not be supported by the Special Research Initiative for Antarctic Gateway Partnership and should not be requested in the budget include:

a. general operating costs or crew costs of specialised ocean-going vessels and other key science support capability such as aircraft, appropriate for the proposed Antarctic and Southern Ocean research;

b. budget items listed in B5.2.1 which are supported, or will be supported, by another organisation;

c. budget items listed in B5.2.1 which support research activities conducted by organisations which are not signatories to the Antarctic Gateway Partnership;

d. teaching relief; and

e. direct development of products and other commercialisation activities.

B6. Roles and Eligibility for Researchers

B6.1 Additional eligibility criteria for the Special Research Initiative for Antarctic Gateway Partnership

B6.1.1 Roles that may be undertaken by researchers under this scheme are:
   a. Chief Investigator (CI).

B6.1.2 A Proposal must nominate at least one (1) CI; the first-named CI will be the Program Leader.

B6.1.3 A Proposal may nominate up to five (5) CIs in total.

B6.1.4 At the time of the submission of a Proposal, all obligations regarding previously funded ARC Projects involving the nominated CIs on the
Proposal must have been fulfilled to the satisfaction of the ARC. Such obligations include the provision of satisfactory Progress and Final Reports.

**B6.2 Eligibility Criteria for Chief Investigators**

B6.2.1 A researcher nominated on a Proposal as a CI must be an employee for at least half time (50 per cent of Full Time Equivalent (FTE)) at the Eligible Organisation as at 1 July 2014, and for the duration of the Program.

B6.2.2 Researchers undertaking a higher degree by research are not eligible to be CIs. Researchers must have their higher degree by research conferred by the Commencement Date of the Project in order to be eligible.

B6.2.3 All CIs must take significant intellectual responsibility for the conduct of the Program and for any strategic decisions called for in its pursuit and the communication of results. All CIs must have the capacity to make a serious commitment to carrying out the Program and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others.

B6.2.4 The CI must normally reside predominantly in Australia for the life of the Program. Any significant absences including fieldwork or study leave directly related to the Program must have approval from the Administering Organisation and must not total more than half of the Program funding period.

B6.2.5 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Program, the Program may be continued provided that the Program still includes at least one (1) CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.

**B7. Scheme specific eligibility requirements**

**B7.1 Eligible Organisations**

B7.1.1 The following organisation is eligible to submit a Proposal for the *Special Research Initiative for Antarctic Gateway Partnership*:

University of Tasmania

**B7.2 Partner Organisations**

B7.2.1 The following organisations are eligible to be Partner Organisations on a Proposal for the *Special Research Initiative for Antarctic Gateway Partnership*:

Australian Antarctic Division
CSIRO