**Discovery Projects Funding Rules for funding commencing in 2012**

*Australian Research Council Act 2001*

I, KIM CARR, Minister for Innovation, Industry, Science and Research, 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 24 December 2010

Kim Carr  
Minister for Innovation, Industry, Science and Research
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Key Dates

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<th>Event</th>
<th>Time</th>
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<tr>
<td>Closing time for submission of Proposals</td>
<td>5.00 pm (AEDT)</td>
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<tr>
<td></td>
<td>Monday 21 March 2011</td>
</tr>
<tr>
<td>Deadline for Requests not to Assess</td>
<td>5.00 pm (AEDT)</td>
</tr>
<tr>
<td></td>
<td>Monday 21 March 2011</td>
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</tbody>
</table>

Contacts

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

ARC Contacts:
by mail to:                                             by courier to:
*Discovery Projects Coordinator*                     *Discovery Projects Coordinator*
Australian Research Council                          Australian Research Council
GPO Box 2702                                            Level 2, 11 Lancaster Place, Majura Park
CANBERRA ACT 2601                                      CANBERRA ACT 2609

Email: [ARC-DiscoveryProjects@arc.gov.au](mailto:ARC-DiscoveryProjects@arc.gov.au)
Phone: 02 6287 6600
Fax: 02 6287 6638
Web: [www.arc.gov.au](http://www.arc.gov.au)

Appeals must be addressed and sent:
by mail to:                                             or by courier to:
The Appeals Officer                                    The Appeals Officer
Australian Research Council                          Australian Research Council
GPO Box 2702                                            Level 2, 11 Lancaster Place, Majura Park
CANBERRA ACT 2601                                      CANBERRA ACT 2609

Other:
RMS User IDs:
Email: [rms@arc.gov.au](mailto:rms@arc.gov.au)
1. **Name of Funding Rules**
   
   These Funding Rules are the Australian Research Council *Discovery Projects* Funding Rules for funding commencing in 2012.

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

3. **Definitions**
   
   In these Funding Rules, unless the contrary intention appears:

   **Adjunct or Emeritus Appointment** or equivalent means that an Eligible Organisation has a formal agreement with a researcher which establishes an ongoing association with the Eligible Organisation, of the nature of an Emeritus or honorary academic or visiting fellow. The ARC may seek documentary evidence of such an association if it is considered necessary.

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

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

   **ARC Act** means the *Australian Research Council Act 2001*.

   **ARC Fellowship** means a position within any ARC scheme where the salary is funded wholly or partly by the ARC and where the researcher in that position was a named participant in a Proposal.

   **ARC Research Centres Program** encompasses any research centre wholly or partly funded by the ARC and includes Centres of Excellence, Special Research Centres, Co-funded Centres and Special Research Initiatives.

   **Australian Laureate Fellow** means a researcher who receives funding under the ARC *Australian Laureate Fellowships* scheme.

   **Centre Personnel** means the Centre Director, Research Director, Chief Operations Officer, Chief Investigators or Specified Personnel in the ARC Research Centres Program.

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

   **Collaborating Organisation** means any Eligible Organisation which is identified in the Proposal as a contributor to the project but is not the Administering Organisation.

   **Commonwealth** means the Commonwealth of Australia.
**Commonwealth-funded Research Centre** means a research centre established under a competitive Commonwealth scheme and includes Cooperative Research Centres and National Health and Medical Research Council (NHMRC) Grants and Centres of Clinical Research Excellence.

**Conflict of Interest** means an actual or perceived conflict between a person’s public duty and their private or personal interest.

**Discovery Outstanding Researcher Award (DORA)** means an Award available in conjunction with *Discovery Projects* that funds a CI salary.

**Eligible Organisation** means an organisation which is eligible to apply for and receive funding under these Funding Rules.

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

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

**Funding Agreement** means the agreement entered into by the ARC and an Administering Organisation when a Proposal from that organisation is approved for funding. This Agreement sets out the terms and conditions under which the Commonwealth will provide funding and the Administering Organisation will be responsible for administration of the funding and the conduct of the Project.

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

**International Collaboration Award (ICA)** means the Award available to fund international travel under conditions specified in these Funding Rules.

**Medical and Dental Research** means research and/or training which, in the opinion of the ARC, has a significant focus on near-term clinical medical (including dental) outcomes.

**Minister** means the Minister from time to time responsible for the administration of the ARC Act, or the Minister’s delegate.

**Other Organisation** means any organisation which is identified in the Proposal as a contributor to the project but is not an Eligible Organisation.

**Partner Investigator (PI)** means a researcher named in the Proposal who satisfies the eligibility criteria for a Partner Investigator.

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

**Project Leader** means the first-named CI on a Proposal.
Proposal means a request to the ARC for the provision of funding which is submitted in accordance with the Funding Rules.

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.

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

4. Introduction

4.1 Overview

4.1.1 These Funding Rules are current as at December 2010 and have been prepared in accordance with the requirements of the ARC Act in force then.

4.1.2 The Discovery Projects scheme provides funding to Eligible Organisations to support research programs.

4.1.3 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 and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise [innovative] applications\(^1\).

4.2 Discovery Projects

The objectives of the Discovery Projects scheme are to:

a. support excellent basic and applied research by individuals and teams;

b. enhance the scale and focus of research in the National Research Priorities;

c. expand Australia’s knowledge base and research capability;

d. encourage research and research training in high-quality research environments;

e. enhance international collaboration in research; and

f. foster the international competitiveness of Australian research.

4.3 Selection Criteria
Proposals will be assessed and ranked using the following selection criteria:

a. Investigator(s) 40%
   - research opportunity and performance evidence (ROPE); and
   - capacity to undertake the proposed research.

b. Project Quality 40%
   - does the research address a significant problem?
   - is the conceptual/theoretic framework innovative and original?
   - will the aims, concepts, methods and results advance knowledge?
   - are the project design and methods appropriate?
   - will the proposed research provide economic, environmental and/or social benefit to Australia?
   - does the project address National Research Priorities?

c. Research Environment 20%
   - is there an existing, or developing, supportive and high quality research environment for this Project?
   - are the necessary facilities to complete the project available?
   - are there adequate strategies to encourage dissemination, commercialisation, if appropriate; and promotion of research outcomes?

5. Funding

5.1 Level and Period of Funding

5.1.1 All amounts referred to in these Funding Rules are to be read as exclusive of GST (if any), unless expressly stated otherwise.

5.1.2 The minimum level of funding provided by the ARC under Discovery Projects is $30,000 per year of funding and the maximum is $500,000 per year of funding.

5.1.3 A Project may be awarded funding for up to three consecutive years.

5.1.4 A Project may be extended beyond three years, in exceptional or changed personal circumstances, subject to the approval of the ARC.

5.1.5 Funding for approved projects will commence with effect on 1 January 2012, unless other arrangements are approved by the Minister.

5.2 Budget Items Supported

5.2.1 Budget items which directly support a research program may be funded, including:

a. personnel: for example research associates and assistants, technicians and laboratory attendants. Salary support must be requested at an appropriate salary level for the Administering Organisation.
b. PhD stipends, at a minimum of $22,860 (2011$);

c. equipment;

d. access to national and international research and infrastructure facilities;

e. maintenance;

f. access to workshop services linked to and justified explicitly against the Project (e.g. machine tools and qualified technicians available to each member of staff, according to need, for research);

g. travel costs as described below:
   - domestic and/or international economy travel costs for CIs and research support personnel. Funding is permitted for domestic and international travel;
   - domestic and international economy travel costs for PIs living overseas to travel to and from Australia, once per year, to work on the Project.

5.2.2 Publication and dissemination of Project outputs and outreach activity costs may be supported at up to two (2) per cent of total ARC funding awarded to the Project. The ARC strongly encourages publication in publicly accessible outlets and the depositing of data and any publications arising from a Project in an appropriate subject and/or institutional repository.

5.2.3 Teaching Relief may be requested:

a. for up to two CIs, per Proposal;

b. for up to six months, per CI, over the life of the Project; and

c. for up to $34,879 (2011$) per CI, or pro rata for a lesser period, as a Special Condition.

5.2.4 International Collaboration Awards may be requested:

a. for up to two researchers either CIs or PIs, per Proposal. Preference will be given for funding overseas PIs;

b. for up to six months, per Award, over the life of the Project;

c. for a CI to work overseas on the Project with an overseas based PI and/or a PI based overseas to work in Australia on the Project. ICAs do not fund travel to Australia by PIs located at an overseas campus of an Australian Eligible Organisation;

d. up to a maximum amount of $20,000 for 6 months per CI or PI, or pro rata for a lesser period, as a Special Condition;

e. to fund the following items: travel on one international return economy class airfare, reasonable local travel, a living allowance and consumables. The living allowance should be based on standard institutional rates for academic visitors.

5.3 Budget Items Not Supported

5.3.1 Budget items which will not be supported by ARC funding are:

a. salaries and/or on costs, in whole or in part, for CIs or PIs, excluding DORA recipients;

b. capital works and general infrastructure costs;
c. fees for international students or the Higher Education Contribution Scheme (HECS) and Higher Education Loan Program (HELP) liabilities for students;

d. costs not directly related to research, for example, visas, relocation, costs of dependants, insurance, and mobile phones (purchase or call charges).

5.3.2 The following basic facilities must be provided by the Administering Organisation:

a. accommodation (e.g. laboratory and office, suitably equipped and furnished);

b. access to film or music editing facilities;

c. access to a basic library collection;

d. standard reference materials or funds for abstracting services;

e. provision of office computers and basic computing facilities such as printers, word processing and other standard software; and

f. use of photocopiers, telephones, mail, fax, email and internet services.

5.4 Research / Activities Not Supported

5.4.1 Except where such activities meet the definition of research at 4.1.3, the Discovery Projects scheme does not support production of:

a. descriptive data compilations, catalogues or bibliographies;

b. teaching materials; or

c. compilation of data, computer programs, research aids and tools.

5.4.2 The Discovery Projects scheme does not support medical and dental research, defined as research and/or training which, in the opinion of the ARC, has a significant focus on near-term clinical medical (including dental) outcomes. This includes but is not limited to Projects that deal substantially with any of the following areas of research:

a. Using human subjects to test the clinical efficacy of a diagnostic or therapeutic agent or medically applicable device or material;

b. Using material collected from human subjects for the purpose of studying disease prevalence, epidemiology or mode of inheritance;

c. Observation or treatment of human patients for clinical medical or dental purposes; or

d. Prevention of disease by medical and/or dental intervention in human subjects.

6. Organisational Types, Roles and Eligibility

6.1 Eligible Organisations

6.1.1 A Proposal may only be submitted by an Eligible Organisation listed at Appendix A.

6.1.2 The Eligible Organisation which submits the Proposal will be the Administering Organisation and all other Eligible Organisations listed on the Proposal will be Collaborating Organisations.
6.2 Other Organisations
Organisations which are not Eligible Organisations but which are listed on the Proposal will be Other Organisations.

7. Roles and Eligibility for Researchers
7.1 Researcher Roles and General Eligibility
7.1.1 Roles that may be undertaken by researchers are:
   a. Chief Investigator (CI); or
   b. Partner Investigator (PI).
7.1.2 A Proposal must nominate at least one CI; the first named CI will be the Project Leader.
7.1.3 At the time of the submission of a Proposal, all obligations regarding previously funded 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 Final Reports.

7.2 Eligibility Criteria for Chief Investigators
7.2.1 A researcher nominated on a Proposal as a CI must meet at least one of the following criteria as at 1 January 2012, and for the full term of her/his participation in the project:
   a. be an employee for at least half-time (50 per cent of Full Time Equivalent) at one Eligible Organisation; or
   b. be a holder of an Emeritus, Adjunct or equivalent appointment at an Eligible Organisation and not be employed more than half-time (50 per cent of Full Time Equivalent) at another organisation that:
      i. is outside the higher education sector, and
      ii. engages in research funded predominantly from state/territory or Commonwealth Government funding sources; or
   c. be a Federation Fellow; or
   d. be an Australian Laureate Fellow.
7.2.2 A CI must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The CI 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.
7.2.3 The CI must reside predominantly in Australia for the life of the Project. The CI may seek approval from the Administering Organisation to undertake fieldwork, or study leave, directly related to the Project not exceeding eighteen months over the life of the Project.
7.2.4 Notwithstanding the eligibility under the criteria above or below in this Section, researchers cannot be eligible to be CIs if:
   a. undertaking undergraduate studies; or
   b. undertaking a higher degree by research.
7.2.5 If a Proposal has been approved for funding and a CI is, at any time, no longer able to work as proposed on the Project, the Project may be continued provided that the Project still includes at least one CI who was named on the Proposal and any replacement CI is approved by the ARC and meets the CI eligibility criteria.

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

7.3 Eligibility Criteria for Partner Investigators

7.3.1 A researcher nominated as a PI on a Proposal:
   a. must take significant intellectual responsibility for the conduct of the Project and for any strategic decisions called for in its pursuit and the communication of results. The PI must have the capacity to make a serious commitment to carrying out the Project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others;
   b. must not meet the eligibility criteria for CI; and
   c. must secure cash, or in-kind contribution or other resources from their own organisation for the Project (having regard to the total cost of the project and the relative contribution of other investigators).

7.3.2 A researcher who is an employee of an Eligible Organisation listed in Appendix A who does not reside predominantly in Australia may be a PI.

8. Discovery Outstanding Researcher Award (DORA)

8.1 Eligibility for a DORA

The eligibility criteria for a DORA are as follows:
   a. satisfy the eligibility criteria for a CI;
   b. a CI may not hold concurrent DORAs;
   c. up to two DORAs may be requested per Proposal;
   d. CIs currently holding an ARC Fellowship can only apply for a DORA in the final year of funding for that ARC Fellowship. A Project is considered to be funded for the years set out in the Funding Agreement.

8.2 Level and Period of Funding for a DORA

8.2.1 A CI cannot apply for DORA funding only.

8.2.2 A DORA can only be awarded for the same duration as the Discovery Project.

8.2.3 A CI awarded a DORA will not be awarded Teaching Relief.

8.2.4 A DORA recipient cannot commence another ARC Fellowship until after the final year of funding for the Discovery Project and DORA.

8.2.5 Not withstanding 8.2.4, DORA funding may be used for other purposes to support the Project in exceptional or changed personal circumstances with
the approval of the Administering Organisation without extension to the life of the Project.

8.2.6 DORA funding may be requested at one of three salary levels (2011$), which is either equivalent to or higher than the salary level of the CI as at the closing date for submission.

<table>
<thead>
<tr>
<th>DORA Funding</th>
<th>Salary</th>
<th>On-costs 28%</th>
<th>Total</th>
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<tr>
<td>DORA Step 1 (1.0 FTE)</td>
<td>$100,493</td>
<td>$28,139</td>
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<td>DORA Step 2 (1.0 FTE)</td>
<td>$121,651</td>
<td>$34,063</td>
<td>$155,714</td>
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<tr>
<td>DORA Step 3 (1.0 FTE)</td>
<td>$142,806</td>
<td>$39,986</td>
<td>$182,792</td>
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</table>

8.2.7 The Administering Organisation must ensure a CI awarded a DORA is entitled to up to 14 weeks’ paid maternity leave during the duration of the award. 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.

9. Number of Proposals, Funded Projects and Cross-Scheme Eligibility

9.1 Number of Proposals and Funded Projects

9.1.1 A CI or Fellow receiving funding under the Discovery Projects, Discovery Indigenous Researchers Development or Australian Laureate Fellowships schemes, or Centre Personnel receiving funding under the ARC Research Centres Program may only be funded concurrently for a maximum of two Projects under these schemes and Program combined. If both Projects are funded under the Discovery Projects scheme only one can be as sole CI.

9.1.2 A CI receiving funding under ARC schemes not listed in 9.1.1 may only receive funding concurrently for a maximum of two Discovery Projects. If two Projects are funded under the Discovery Projects scheme only one can be as sole CI.

9.1.3 Researchers will not be permitted to relinquish a CI, Fellow or Centre Personnel role or existing ARC grants held on 1 January 2011, to circumvent the limits in 9.1.1 and 9.1.2.

9.1.4 Proposals may be submitted only to the extent that, if all were successful, the researchers nominated on those Proposals would not be involved in more than the maximum number of projects permitted in 2012 evaluated as at the closing time of submission of Proposals. A Project is considered to be funded for the years set out in the Funding Agreement.

9.1.5 During the 2011 calendar year a request for a DORA within a Discovery Projects Proposal and a Future Fellowships Proposal cannot be submitted for the same CI.
9.2 Duplication
A Proposal may only be submitted once in the same funding round to *Discovery Projects* regardless of any variation in the proposed research, the listed researchers and/or Administering Organisation.

9.3 Proposal Eligibility
9.3.1 The ARC will not duplicate funding for research, including infrastructure, funded as at 1 January 2012 by the Commonwealth.

9.3.2 The Proposal must list all current funding and requested funding for each CI and PI under any ARC scheme or any other Commonwealth funding scheme.

9.3.3 The ARC will assess whether a Proposal meets the eligibility requirements in these Funding Rules and may recommend that a Proposal that does not meet the requirements be deemed ineligible.

10. Submission of Proposals

10.1 Proposals
10.1.1 The Proposal 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.

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

10.2 Submission of Proposals in the RMS
10.2.1 Administering Organisations must submit Proposals through the RMS unless otherwise advised by the ARC.

10.2.2 All Proposals must meet the format and content requirements, including certification, as set out in the RMS form and the *Instructions to Applicants*.

10.3 Closing Time for Proposals
10.3.1 The online form completed within the RMS must be submitted by **5.00 pm (AEDT) Monday 21 March 2011**.

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

10.3.3 Proposals may be withdrawn up until 5.00pm (AEDT) Tuesday 31 May 2011 by the Administering Organisation by notice in writing to the ARC.

10.4 Certification in the RMS
10.4.1 The Administering Organisation must certify a Proposal online in the RMS. Research Offices should ensure that the Research Office delegate role is authorised in the RMS to certify and submit Proposals.

10.4.2 The ARC reserves the right at any point in the process to seek evidence from the Administering Organisation to support the certification of Proposals.
10.5 Conflict of Interest

10.5.1 Each party involved in a Proposal must declare at the date of submission any conflict of interest that exists or is likely to arise in relation to any aspect of the Proposal.

10.5.2 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) and any relevant successor document.

11. Selection and Approval Process

11.1 Assessment and Selection Process

11.1.1 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.

11.1.2 All Proposals may be:
   a. considered against eligibility criteria and compliance with Funding Rules;
   b. 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;
   c. ranked and allocated a budget, relative to other Proposals, by the College of Experts, on the basis of the Proposal, any assessors’ reports and any rejoinder.

11.1.3 The ARC has procedures in place for managing organisational and personal Conflicts of Interest for assessors, members of the College of Experts, members of other ARC Committees and ARC staff.

11.2 Rejoinder

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.

11.3 Request Not to Assess

Administering Organisations may name any person or persons whom they do not wish to assess a Proposal on a ‘Request not to Assess’ form. The notification must be sent to the email address advised under Contacts at the beginning of these Funding Rules and received by the ARC by the closing time for Proposals, 5:00 pm (AEDT), Monday 21 March 2011. The ARC will consider the justification put forward to exclude any person as an assessor, but may choose not to give effect to such a request.

11.4 Recommendations and Offer of Funding

11.4.1 In accordance with the ARC Act, the 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.

11.4.2 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.

11.4.3 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.

11.4.4 The Minister may vary the funding approval if the ARC recommends that the particular circumstances of the Project warrant variation. Any variation or change will accord with the ARC *Discovery Projects* Funding Rules and Funding Agreement.

12. **Appeals Process**

12.1.1 Appeals will be considered only against administrative process issues and not against the assessment outcome.

12.1.2 Appeals must be submitted by the Administering Organisation of the ARC Appeals Form, authorised by a Deputy Vice-Chancellor (Research), Chief Executive Officer or equivalent. Appeals must be received within 28 days of the date of the notification to the Administering Organisation of the outcome of Proposals.

12.1.3 Appeals must be addressed and sent to the address advised under ‘Contacts’ at the beginning of these Funding Rules.

13. **Reporting Requirements**

13.1 **Progress Reports**

13.1.1 Years 1 and 2: Report by Exception. A report must only be submitted if significant issues are affecting the progress of the Project. The report must specify the actions being taken to address the issues.

13.1.2 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.

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

13.2 **End of Year Reports**

The Administering Organisation must submit an End of Year Report by 31 March in the year following each full calendar year for which the funding was awarded in accordance with the instructions to be provided by the ARC each year.

13.3 **Final Report**

13.3.1 A Final Report must be submitted for the Project within twelve months of the final payment or within twelve months of the final approved carryover of Funds as directed by the ARC.
The Final Report must justify why any publications from a Project have not been deposited in appropriate repositories within 12 months of publication. The Final Report must outline how data arising from the Project has been made publicly accessible where appropriate.

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

The ARC may also seek additional information about subsequent publications after submission of the Final Report.

**13.4 Audited Financial Statement**

13.4.1 In accordance with section 58 of the ARC Act, the Administering Organisation must submit an Audited Financial Statement by 30 June for each year following each calendar year for which the Funding was awarded.

13.4.2 In completing the Audited Financial Statement, the Administering Organisation must ensure that the amount shown in that statement as ‘approved carry forward funds’ is the same as the amount (if any) for which approval was given by the ARC to carry over in the End of Year Report.

**14. Fundamental Principles of Conducting Research**

**14.1 Ethics and Research Practices**

14.1.1 All Proposals and ARC-funded research projects must conform to the principles outlined in the following and their successor documents:

- NHMRC/ARC/UA Australian Code for the Responsible Conduct of Research (2007);
- as applicable, the NHMRC/ARC/AVCC National Statement on Ethical Conduct in Human Research (2007); and
- as applicable, codes on animal research promulgated by the NHMRC.

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

**14.2 Applicable Law**

The ARC is required to comply with the requirements of the *Privacy Act 1988* and the *Freedom of Information Act 1982*.

**14.3 Confidentiality**

14.3.1 The ARC gives no undertaking to keep confidential any information provided in the Proposal except where required by law. The ARC may restrict access to the Proposal from parties not directly related to the Proposal.

14.3.2 The ARC will publicise and report offers or awards of funding, including information about the proposed research; the CIs and PIs; the name of the Administering Organisation and any other parties involved in or associated with the project; the title and summary descriptions of the project and its intended outcomes (including the national/community benefits that are expected to arise from the research); and the level and nature of funding from the ARC. 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.

14.4 **Intellectual Property**

14.4.1 The ARC does not claim ownership of any intellectual property in a Proposal.

14.4.2 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 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* as amended from time to time.

14.5 **Incomplete or Misleading Information**

14.5.1 It is a serious offence to provide false or misleading information to the Commonwealth.

14.5.2 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.

14.5.3 Examples of misleading information and misconduct include:

a. providing fictitious research opportunity and performance evidence;

b. plagiarism

c. making false claims in publications records (such as describing a paper as accepted for publication when it has only been submitted);

d. making false claims in relation to qualifications and/or appointments;

e. making false certifications in the RMS certification; or

f. failing to disclose to the ARC 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).
Appendix A

Eligible Organisations

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

**Victoria**
- Deakin University
- La Trobe University
- Melbourne College of Divinity
- Monash University
- Royal Melbourne Institute of Technology (RMIT University)
- Swinburne University of Technology
- The University of Melbourne
- University of Ballarat
- Victoria University

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

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

**South Australia**
- The Flinders University of South Australia
- The University of Adelaide
- University of South Australia

**Tasmania**
- University of Tasmania
Northern Territory
Charles Darwin University
Batchelor Institute of Indigenous Tertiary Education

Australian Capital Territory
The Australian National University
University of Canberra
Australian Institute of Aboriginal and Torres Strait Islander Studies
(AIATSIS)

Multi-State

Australian Catholic University

Museums and herbaria which are Australian publicly funded organisations not directly funded to carry out research, but with research-related purposes and objectives.