Australian Government
Department of the Environment
Australian Antarctic Division

AUSTRALIAN ANTARCTIC SCIENCE PROGRAMME

Guidelines for the 2016–17 round

To be eligible for consideration, **applications must be submitted by 5 pm** (Australian Eastern Standard Time) **Tuesday 12 July 2016** and **signed certifications** must reach planning@aad.gov.au by **5 pm AEST Tuesday 26 July 2016**

For further information on this programme contact
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Acronyms

AAD	Australian Antarctic Division
AADC	Australian Antarctic Data Centre
AAO	Antarctic Applications Online
AAP	Australian Antarctic Programme
AAPAEC	Australian Antarctic Programme Animal Ethics Committee
AAS	Australian Antarctic Science
AASP	Australian Antarctic Science Programme
AAT	Australian Antarctic Territory
AEST	Australian Eastern Standard Time
CI	Chief Investigator
CV	*Curriculum vitae*
DMP	Data Management Plan
SP&C	Science Planning and Coordination

About the Australian Antarctic Science Programme

Background

The Australian Antarctic Division (AAD) was formed in 1948 to administer and coordinate Australian National Antarctic Research Expeditions, which later became the Australian Antarctic Programme (AAP). The AAD is a division of the Department of the Environment and is responsible for delivering Outcome 3 of the Department's Corporate Plan 2015–2016; 'Advance Australia's strategic, scientific and environmental interests in the Antarctic'.

A science programme has always been a core component of the overall programme.

The Australian Antarctic Science Programme (AASP) considers applications for science projects that address the Australian Government's *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*.

The AAD provides logistical support to enable participants to undertake field work for approved projects in Antarctica[1]. This support usually takes the form of transport between Hobart and Antarctica/the subantarctic, accommodation and meals, clothing and kitting, and medical services for expedition participants. Information about going south with the AAP can be found on the AAD website and in particular in the section on pre-departure.

The AAD also provides financial support to eligible institutions through a formal grant programme, which has been supporting scientific Antarctic research since 1986. The grant programme is a component of the overall AASP and all applications, regardless of whether or not they are requesting (or are eligible for) a grant, are assessed through the same application system.

Up to $1,050,000 is available for grants each year.

Objectives and outcomes

The objective of the AASP is to address the goals of the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*.

The expected outcome of the AASP is to provide fair and equitable access for research scientists to Australian Antarctic support for high quality research that efficiently, effectively, economically and ethically contributes to achieving the goals set out in the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*.

The Australian Antarctic Science Grant Programme outcome is to provide non-government research scientists (primarily Australian University researchers) with access to government grant funding for high quality research that efficiently, effectively, economically and ethically contributes to achieving

[1] For the purposes of these guidelines, references to work in Antarctica includes work in the subantarctic and Southern Ocean.

the goals set out in the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*.

Overview of the 2016–17 round of the Australian Antarctic Science Programme

What are the main points to note in this round?

- Logistical support can be requested for the 2017-18 season and beyond. (Please note that due to current project commitments there is very limited capacity to provide logistical support for new projects in the 2016-17 season and you should discuss your requirements with Science Planning and Coordination (SP&C)).
- Projects requiring major logistics in 2018–19 should complete an application in this round to allow sufficient lead time for operational support. Major logistics may include dedicated ship time, dedicated aviation support, field operations outside the station operating area, and/or more than five beds at any one station at one time.
- The maximum length of a research project is four years and monitoring is 10 years.
- Salary on-costs of up to 20 per cent are eligible for grant funding.
- There is a minimum grant amount of $10,000 for the life of the project.
- There are some minor changes to the assessment criteria.
    - Criterion 1a has been reordered by priority to improve clarity but no scoring changes have been made.

- Scoring for the budget criterion has been amended to better distinguish between the bands.

- The Antarctic Research Assessment Committee has been abolished and replaced with an expert assessment panel for the 2016–17 round. This panel will comprise two subgroups for the assessment of applications. One group will assess strategic fit and outreach, the other will assess the scientific criteria and budget.

- Frontier science is open to excellent projects in any field of research that is not covered within Themes 1–3. Overall, the programme aims to support around 10–15 per cent of all projects from the Frontier Science theme.

What activities are eligible for inclusion in the programme?

The programme considers science applications proposing the following types of projects:

- Research or monitoring science projects that address the goals of the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*.

- Projects conducted in Antarctica, the subantarctic, and/or Southern Ocean using Australian (or other) logistics or undertaken entirely in Australia, or another country. If seeking logistics from another country, you should contact the AAD before applying.

- Research projects that do not require AAD logistics (known as Australia-based) but are addressing the goals of the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21* (for example, data modelling, or using existing samples or remote sensed data).

The AAD offers logistical support that includes access to Australia's research stations Casey, Davis, Mawson and Macquarie Island and field locations around them and to undertake marine science in the Southern Ocean. Field work at remote/deep field locations within the Australian Antarctic Territory (AAT) or at Heard and McDonald Islands is possible but should be discussed with the AAD before applying.

Who can apply to lead a project?

The applicant, or chief investigator (CI), must be a suitably qualified researcher based at any Australian or international University or research institution, or be employed by an Australian state or territory, or an Australian Government authority.

Chief investigators are expected to possess relevant research experience of a high order.

Early career scientists are encouraged to apply to lead a project as CI. If you wish to be considered as an early career scientist you should make that clear on your *curriculum vitae* (CV). An early career scientist is one who completed their PhD less than five years ago (or equivalent). If your PhD was awarded more than five years ago, but your research career has been interrupted by non-research employment, misadventure, illness, or family and carer responsibilities, you should email planning@aad.gov.au for a determination of 'equivalent' status.

A student cannot be the CI of a project.

The AAD will consider providing logistical support to scientists based overseas, particularly encouraging high quality collaborative proposals involving Australian researchers. However, overseas applicants are not eligible for a grant.

International applicants are expected to cover their own costs, including travel to Australia, accommodation prior to departure and the cost of medical examinations. They should also ensure they have adequate health insurance cover while in Australia, and comply with Australian visa requirements.

The CI is responsible for leading their AAS project. CIs are expected to take responsibility for the day-to-day running and administration of their project, as well as provide the required reports, data, samples, and publications to the AAD. CIs are responsible for supervising their field personnel and for informing them of their obligations while participating in the AAP.

Multiple applications

Applicants can submit more than one application. The capacity of the applicant to deliver each project within the required time frame will be taken into consideration during the merit assessment process.

Who can apply for an AAS grant?

Australian organisations considered eligible to receive AAS grants are listed in Appendix A. Only applicants from eligible institutions can access the grant questions in the application form.

Chief investigators seeking a grant must meet at least one of the following criteria at the time of application, and for the full term of her/his participation in the project:

- be an employee for at least half time (50 per cent of Full Time Equivalent) at **one** Australian eligible organisation, or
- be a holder of an Emeritus, Adjunct or equivalent appointment at an Australian eligible organisation and not be employed more than half time (50 per cent of Full Time Equivalent) at another organisation that:
    - is outside the higher education sector
    - engages in research funded predominantly from state/territory or Australian Government funding sources.

Applicants employed in Australian state museums and state-funded institutions must obtain prior approval from the AAD Chief Scientist before seeking AAS grant support. In doing so applicants will need to demonstrate the research planned could not be considered a core responsibility for their state institution or museum to support.

Chief investigators must also reside predominantly in Australia for the life of the project.

Australian researchers planning to work in Antarctica, but outside the AAT, may be eligible for an AAS grant, but only if the proponent works on the research at an eligible Australian organisation, the project is consistent with the *Australian Antarctic Science Strategic Plan 2011–*

12 to 2020–21, and participation in a foreign programme is fully justified and endorsed by the AAD.

The applicant's host organisation must hold an Australian Business Number (ABN) and/or have status as a Deductible Gift Recipient (DGR) to receive AAS grant funding.

What types of AAS grants are available?

Three types of grants are included in the programme:

- Research project grant
- Co-funded post-doctoral fellowship grant*
- RJL Hawke post-doctoral fellowship* in Antarctic Environmental Science.

***A research project grant cannot be sought in addition to either type of post–doctoral fellowship grant for the same project.**

Applicants must provide a budget and justification for all years requested to enable the expert assessment panel to evaluate the total requirements of the project. In accordance with the *Commonwealth Grants Rules and Guidelines* and the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), applicants are required to demonstrate that the project will contribute to 'achieving value with relevant money'.

AAS research project grants are provided for up to four years. The total research project grant funding available over the life of the project is a maximum of $150,000; the minimum amount that can be requested is $10,000. However, a CI may choose to apply for a one, two, three or four year research grant project and still receive a grant up to the value of $150,000.

An **AAS co-funded post-doctoral fellowship** may receive up to $50,000 per year for a maximum of three years for salary. An additional $5000 per year may be requested for operating costs to

undertake the project. The total amount requested for a co-funded post-doctoral fellowship must be matched by the host university and distributed evenly over the life of the project. It is recommended that a letter of support from the host university accompanies the application. If a letter cannot be provided at that point, one will be required prior to awarding the grant.

The **RJL Hawke Fellowship in Antarctic Environmental Science** was initiated on the 20th anniversary of the former Prime Minister, the Honourable Bob Hawke's, push to ban mining in Antarctica.

This prestigious fellowship is available for research on Antarctic Environmental Science that aligns to the research goals of the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21* in Themes 1, 2 or 3. Only one RJL Hawke Fellowship is available in each application round.

The fellowship is a two-year grant with a total value up to $200,000 including salary of $90,000 each year and up to $10,000 each year for operating costs to support the research.

The fellowship will be held by a CI at the host institution, who will supervise the post-doctoral fellow. The CI's institution must provide the Hawke Fellow with a minimum of $20,000 cash or in-kind support for each of the two years of the fellowship, to support the research project.

Application timing

The 2016–17 round of the AASP will open for applications on Tuesday 31 May 2016. To be eligible for consideration, applications must be submitted by 5 pm AEST Tuesday 12 July 2016. Signed certifications must be received by planning@aad.gov.au by 5 pm AEST Tuesday 26 July 2016. Further details are available in the section on How to Apply.

When do projects commence?

Undertaking science within the Antarctic, Southern Ocean and/or subantarctic is logistically complex, therefore approval processes involve not only the assessment of the application but the subsequent allocation of logistical support. Grants requiring logistical support are allocated after the AAD confirms the support is available.

All applicants should be notified by email of the outcome of the assessment in early 2017, regardless of the requested year of commencement.

For approved projects commencing in 2016–17 the commencement date of the project is the date an advice letter is sent by the AAD.

CIs with projects commencing in 2017–18 will be advised in early 2017 whether or not the project can be supported. Confirmation of logistical support and ticket allocation will be no earlier than 1 July 2017, once planning for the 2017–18 season is completed.

CIs with large, logistically demanding projects commencing in 2018–19 will be advised in 2016 whether or not the AAD considers it will be able to support the logistics required. The final logistical decisions will be later, with notification of final ticket allocation no earlier than 1 July 2018.

The commencement date for grant funding is the date the Australian Government delegate countersigns the funding agreement already signed by the representative of the CI's institution.

Projects requesting logistical support

The AAD aims to provide operational support to achieve the project objectives for all approved science projects. However, AAD operational planning for projects is a complex process that takes several months to finalise.

If your project is approved, you will be contacted by operational staff and the support required will be discussed with you in detail. A service level agreement, or SLA, detailing the operational support the AAD expects to provide will be agreed with you and given to you prior to the field season commencing.

Should your support requirements change after your project is approved, the AAD cannot guarantee alternative or additional support. The earlier you can discuss and seek approval for any variations the better. All variation requests should be made to planning@aad.gov.au.

All projects requiring logistical support require additional approvals before personnel are cleared to travel south. Approvals can include suitability of personnel (for example, personal qualities, medical and psychological approvals and security clearance), ethics approvals, environmental, access and quarantine permits together with an SLA for operational support of the project.

Project personnel

Applicants must provide details of all personnel contributing to a project, and CIs must ensure that nominated field personnel are appropriately qualified (including demonstrated laboratory skills if applicable). *Curriculum vitae* are required for all co-investigators named on the project application and all personnel participating in Antarctic field work (this will be required when requesting a berth or flight).

Applicants must justify the number of field personnel requested and the duration of their field work in Antarctica, with a detailed work plan for each field person.

Postgraduate students and volunteers will not be accepted for participation in Antarctic field programmes unless they are accompanied by a suitably qualified supervisor.

Details of supervisory arrangements will be required prior to AAD agreeing to that person participating in a field programme. More detail regarding volunteers is provided on the AAD website.

Compliance with regulations and legislation

All science projects conducted by Australians in Antarctica, or by any member of Australia's Antarctic programme, must comply with all relevant national and state legislative requirements. See Appendix B.

Questions to help the AAD assess project compliance requirements are included in the application form. Further information from the applicant will be sought if the project is recommended for approval.

Chief investigators are required to obtain all the necessary permits and authorisations from the relevant authorities and meet all legislative requirements prior to final approval being granted by the AAD.

Safety and compliance with Commonwealth Work Health and Safety requirements is fundamental to participation in the Australian Antarctic Programme.

Animal research

Projects involving animals must obtain animal ethics approval before they commence. All such projects in Antarctica, the subantarctic (except Macquarie Island) and the Southern Ocean require approval by the Australian Antarctic Programme Animal Ethics Committee (AAPAEC), regardless of approvals received from other similar committees.

Projects proposing animal research on Macquarie Island require approval from the animal ethics committee at the CI's institution, as well as the Tasmanian Department of Primary Industries, Parks, Water and Environment animal ethics committee. The AAPAEC only considers animal research for Macquarie Island where the CI is an AAD employee.

Animal research guidelines are available on the AAD website, and all applicants considering research on animals must read these guidelines. Any questions should be addressed to the AAPAEC Secretary at aec@aad.gov.au.

The AAPAEC does not look favourably on substantial changes made to animal research proposals after ethics application submission, so CIs must ensure they consider all aspects of their research and consult with the AAPAEC Secretary if they have any questions when drafting the ethics application.

Human research

Researchers wishing to undertake research involving humans will require appropriate human ethics approval.

Use of radioisotopes

Projects involving the use of radioisotopes must comply with the ionising radiation guidelines. The AAD will not accept responsibility for storage or disposal of radioactive wastes other than those in which the CI is an AAD employee.

How to apply

Application form

The AAD has an online application system called AAO (Antarctic Applications Online) for the AASP.

The same application form and assessment process is used for all project and grant applications.

It is important that the application provides all the relevant information requested. The online form will not allow submission of the application until all the required questions have been answered.

Applicants should read all guidelines and online help carefully, address the questions asked, and contact the relevant Theme Leader and/or SP&C for help with content or technical questions if required.

What to include

Firstly, you need to create a project. At this stage you identify yourself, provide a short project title and select the category the project falls within. Once this is saved you will enter the application form and see the following sections to complete.

1. **Public summary**
   Provide a short summary of the project. This information is made public if the project is approved. You can edit your title and project category at this step.

2. **Project team**
   List the team members and identify their roles. CVs are required for all co-investigators, post-doctoral fellow applicants and anyone identified to go south.

3. **Objectives**
   This section requires detail on objectives, background and context.

4. **Antarctic Science Themes**
   Describe how the proposal fits within the *Antarctic Science Strategic Plan 2011–12 to 2020–21*. Information on how the proposal's outputs and outcomes support the relevant research area(s) will be required. Applicants for Theme 1–3 projects should refer to the relevant stream implementation plans.

5. **Australian Science and Research Priorities**
   Asks whether the project addresses an Australian Science and Research Priority. This is needed for reporting purposes not for assessment.

6. **Methods**
   Detail the methods that will be used in your project to collect the data, analyse samples and analyse the data produced.

7. **Plan and milestones**
   A brief work plan for the project is required, including expected progress against milestones and measures of success.

8. **References**
   List the references cited in the application.

9. **Path to impact**
   Comprises end user identification and research use, and includes any formal or proposed links to

international research programmes as well as outreach activities.

10. **Seasons of operation**
Requests information on where and when the applicant would like the project to operate. The number of years you select relates to the project duration you selected at Step 1.

11. **Locations**
Using answers provided at step 10, information is required on preferred ship and field days, activities and their order of priority, any cargo requirements, and any AAD facilities or equipment support required.

12. **Budget and grant**
Applicants must identify and provide the estimated contribution for all budgeted items associated with the project, from all investigators and institutions, for each year of the project. Grant applicants will be required to provide justification for each item requested.

13. **Risks and mitigation**
The focus is on project risks, including budget, but not logistics, as the AAD will assess these as part of the planning process. Applicants requesting a grant must explain the implications of not receiving AAS grant funding in this area.

14. **Authorisations and permits**
A series of yes/no questions is asked here to help identify what authorisations the project may require, including permits, access authorisations and ethics approvals.

15. **Commercial implications**
Identify any commercial implications of your planned research.

16. **Reviewers to exclude**
An opportunity to name any reviewer you do not wish the AAD to approach.

17. **Data Management**
Applicants confirm they have read and understood the AAP Data Policy and identify any mapping assistance required.

18. **Attachments**
Attach CVs for all investigators listed and anyone identified to go south as well as any other attachments that will assist reviewers and the expert assessment panel assess your proposal (for example, maps or diagrams). Applicants must, however, ensure that essential information for assessment is in the application form and not in attachments. Applicants with projects that are part of a larger project or programme should include a diagram representing the relationship.

19. **Feedback**
An opportunity to provide feedback on the application process.

20. **Review and submit**
A self-checking feature that identifies unanswered questions; there is also a print facility. Applicants must submit the application from this page.

Certification

On submission you will receive an email that includes a blank certification form as a pdf attachment. You must provide signatures of all investigators and institutions. When signing the certification, the head of each institution listed is asked to confirm the resources/budget identified in the application are planned to be provided by their organisation.

To be eligible for assessment, applications must be submitted by 5 pm AEST Tuesday 12 July 2016. Late applications will not be considered.

The signed certification must be submitted to planning@aad.gov.au by 5 pm AEST Tuesday 26 July 2016.

For further information, contact planning@aad.gov.au.

Projects requesting an AAS grant

AAS grant funding is additional to the basic facilities provided by the researcher's own organisation. Grants will not be provided for payment of university administration or laboratory fees, or for basic overheads.

All grant requests are considered to be GST exclusive. No supplementation can be provided once a grant is approved. Researchers must request a minimum of $10,000 in grant funding over the life of the project, and can request a maximum of $150,000 over the life of the project.

Applicants must provide sufficient justification for each item requested explaining why the item is essential for the successful completion of the project. Insufficient detail in this section will detract from the strength of the grant application and may influence the success of the request.

Researchers travelling with other countries' Antarctic programmes, or on non-AAD operated vessels, should contact grants@aad.gov.au to discuss eligibility of grant request items.

In addition to identifying AAS grant funding requirements, applicants are asked to identify other actual or expected sources and amounts of financial support that will contribute to the project so assessors can determine the overall viability of the project.

To assist with the assessment of a grant application, further information may be requested by the AAD. Applicants will be notified by email where this is required.

Eligible items for AAS grants

Eligible items and length of grant funding are different for the three categories of grants.

1. Research project grant

i) Personnel

General

Applicants may request AAS grant funding to pay all or part of the salary of personnel involved in their research project, although funding will not be considered for personnel in receipt of a salary from government departments or instrumentalities.

Grant funds will not be provided to pay CI salaries.

Grants sought to fund a research or technical support position should show the official designation of the position and provide justification for the classification sought. Salary classifications and levels should be those used by the CI's institution. Funds for part-time or short-term appointments may be requested under this heading.

For each position requested the budget should show separately the actual salary of the position and the organisation's contribution for salary on-costs (worker's compensation insurance, payroll tax, leave loading, service allowances etc.). Salary on-costs can be requested for funding up to 20 per cent of salary. Funds are not available for Antarctic, field or other per diem allowances.

Salaries should be adjusted for inflation. The AAS grant programme does not automatically fund salary increases through promotion.

Top-up PhD scholarship

One top-up PhD scholarship per application may be requested for a student who holds or expects to hold an Australian Postgraduate Award (APA) or equivalent scholarship at the time of the grant funding commencing (whether or not the individual is already named). Should the student not receive an APA or equivalent the top-up will not be paid. Evidence of the student holding an APA will be required to receive funding for this item.

Top-up scholarships are valued at a maximum annual rate of $7000 for a maximum of three years. Requests for one or two years of a top-up scholarship will be considered.

ii) Consumables and other items

Any items not mentioned in other eligible item sections can be requested under this section. This may include any item of equipment costing less than $5000, any chemical or other analyses (including fees requested by specialist analytical facilities at the CI's institution), computer software or hire of external computer time, the purchase of printed or other material, and publication costs.

Services provided by other organisations may be requested, for example laboratory and analytical services provided by an organisation other than the applicant's own. Applicants need to provide details of the costing of services provided by the organisation(s) and any necessary ancillary costs. Applicants should confirm that the work and availability of facilities are acceptable to the organisation(s) concerned.

Funds are not provided for the hire of computer time on a computer within the applicant's own organisation. Requests for funds for programming, preparation and storage of data or the hire of external computer time must be fully justified.

iii) Travel and support costs

This category includes costs associated with travelling with the AAP, including domestic airfares (flexible economy only), accommodation, other expenses such as hire cars and per diems, medicals, insurance, training required by the AAD (but not provided by the

AAD), and freight of equipment and samples.

International applicants are expected to cover their own costs, including travel to Australia, accommodation prior to departure and the cost of medical examinations.

Domestic travel

AAS grant funds may be sought for airfares and other expenses (for example, taxi fares) associated with attendance at Antarctic medical and psychological tests, operational planning workshops, pre-departure training, when embarking for Antarctica or on return from Antarctica and other travel directly related to the planning for or conduct of research. Pre-departure training is usually scheduled to coincide with expected departure dates, but may occur well before.

Funding of airfares will not be provided above economy flexible fares. However, applicants should not attempt to reduce costs by purchasing inflexible advance purchase airfares as unexpected alterations to schedules or ticket allocations can result in additional expense, and no supplementary funding can be provided once a grant is approved.

Travel costs (including registration) can be requested for attendance at relevant domestic conferences to present project findings and for outreach activities.

International travel

Funds will not be approved to support overseas travel, although funding may be considered for Australian researchers working in Antarctica, but outside the AAT. Funds will not be granted to support researchers based overseas travelling to and from Australia.

Accommodation expenses

Includes reasonable accommodation expenses in Hobart prior to pre-departure training, prior to departure, and on return from Antarctica. Passengers should budget for up to two nights of additional accommodation in case a flight is delayed. The AAD will only pay for short-term accommodation in special circumstances (see Working in the field).

Freight of equipment and samples

Expenses associated with freighting equipment and samples between an applicant's institution and the AAD in Hobart are the responsibility of the CI. An AAS grant may be requested to meet these expenses, as well as the cost of freighting equipment and samples to or from overseas.

Pre-departure medical assessments

Expenses associated with mandatory medicals for personnel going south are eligible for grant funding. The standard medical examination cost is approximately $900, although at times it can be higher if specialist consultations are required. Medicals are conducted in most major centres but some travel expenses may be incurred if personnel are in isolated areas.

Insurance

Field personnel not covered by a compensation award must obtain personal insurance cover. AAS grant funds can be sought for this expense.

iv) Major equipment

Any individual item of equipment costing $5000 or more should be included in this category. The maximum request for all items of equipment is $70,000 over the life of the project, however preference will be given to requests for equipment that is project specific, rather than equipment the host institution would normally be expected to supply. Preference will be given to equipment used in Antarctica or the subantarctic, rather than at the CI's institution.

Researchers must justify the use of equipment and describe how it will be integrated with existing equipment. Justification should also describe other avenues explored for funding the equipment (for example, approaches to other institutions). Applicants should indicate the future use for the equipment when the project has finished. Equipment to automate data acquisition at Antarctic stations is encouraged.

2. Co-funded post-doctoral fellowship

Funding can be requested for up to $50,000 per year for a maximum of three years. An additional $5000 may be requested per year to contribute to operating costs from any eligible items listed in the AAS Research Project Grant category. All grant funding requested for a co-funded post-doctoral fellowship requires matching funding from the host institution which must be reported in any financial statements submitted to the AAD.

3. RJL Hawke post-doctoral fellowship

Funding for the two-year grant has a maximum total value of $200,000. This includes salary up to $90,000 each year and operating costs up to $10,000 each year from any eligible items listed in the AAS Research Project Grant category.

The fellowship will be held by a CI at the host institution, who will supervise the post-doctoral fellow. The CI's institution must provide the Hawke Fellow with a minimum of $20,000 cash or in-kind support for each of the two years of the fellowship, to support the research project.

The RJL Hawke fellow will be a prestigious role and is expected to present a paper at a relevant Antarctic conference during the fellowship period or within one year of finishing.

If you are unsure whether an item is eligible for grant funding, contact the grants officer (grants@aad.gov.au). This is particularly important because the value of ineligible items submitted in the application will be deducted from any amount approved.

It is important that grant applicants read carefully the Conditions for participation in the AASP section of this document.

Application assessment and project selection for support and/or grant funding

Assessment process

The Australian Government is committed to ensuring that the process for assessing applications under the programme is fair and in accordance with the *Commonwealth Grants Rules and Guidelines*.

There are five steps in the application assessment process:

1. eligibility check
2. independent peer review
3. applicant rejoinder
4. expert panel assessment
5. project score and final approvals.

Where the programme is oversubscribed, applications considered suitable will be supported and/or funded in order of merit to the limit of the logistical support and grant funds available.

Step 1: Eligibility check

Applications will initially be assessed against eligibility criteria drawn from considerations outlined in the section Overview of the 2016–17 round of the Australian Antarctic Science Programme. All criteria must be met in order for the application to be considered eligible and progress to the next step.

Eligibility criteria

- The online application is submitted by the closing date.
- The CI is a suitably qualified researcher based at any Australian or international University, research institution, or is employed by an Australian state or Australian Government authority.
- The CI of a project requesting a grant is from an eligible organisation and meets the requirements listed at Who can apply for an AAS Grant?
- The RJL Hawke fellowship is available to a suitably qualified CI at an eligible institution as per all other projects. In addition, the fellowship candidate named in the application must be an Australian resident who has been awarded a PhD in a relevant discipline from an Australian or overseas university, no more than five years ago. If their PhD was awarded more than five years ago, but their research career has been interrupted by non-research employment, misadventure, illness, or family and carer responsibilities, contact planning@aad.gov.au for a determination of 'equivalent' status.
- The certification form is signed by the CI and an appropriate office holder with the authority to represent the institution, together with signatures from all co-investigators and their institutions and is submitted to SP&C by the due date.
- The applicant has complied with AAD reporting, granting or data requirements on all AAS projects

conducted over the previous five years (that is, since 2011–2012).

- All required questions have been answered.

Step 2: Independent peer review

All eligible applications will be peer reviewed. SP&C will identify suitable independent external reviewers in Australia and overseas for each application. The reviewers will consider the scientific merit of the application using the assessment criteria. Reviewers are asked to score and comment on criteria 2–5.

The online form includes a section where applicants can advise the AAD of any person who should not be asked to review the application.

At least two reviews will be sought for projects in Themes 1–3 and for projects proposing monitoring science. Where warranted by the complexity of the project or the number of disciplines involved more reviews may be sought.

At least three independent reviews will be sought for Theme 4 Frontier Science projects.

Step 3: Applicant rejoinder

Unattributed reviewer comments will be forwarded to CIs for an opportunity to comment (the rejoinder). A minimum of one week is allowed for CIs to return their rejoinder to SP&C.

Step 4: Expert panel assessment

The expert assessment panel members will receive the application, peer reviews and the rejoinder for each project. They will also receive reports on the following to assist in their consideration of projects:

- Theme Leader assessment of Criterion 1 (Strategic fit and path to impact).
- Previous performance by the CI within the AAP, including compliance with data policy, grant conditions and reporting requirements, as well as data submission history and publications recorded on the AAD database.
- An initial operational assessment on the logistical feasibility of any field work proposed.

If relevant expertise is not available on the expert assessment panel to evaluate reviewer comments for Frontier Science projects, additional expertise may be contracted to provide input to the panel in that particular field of expertise.

Assessment criteria

1. Research, monitoring and co-funded post-doctoral research projects

The expert assessment panel will examine the strategic relevance of the project, the quality of the research in delivering the outputs and outcomes planned, the suitability of the team, and whether the project is feasible.

Projects in Theme 1–3 are strategically focused, addressing all assessment criteria, while Theme 4 Frontier Science applications are not assessed on strategic fit and path to impact. Scores allocated for each criterion reflect these differences, but the final score for all projects is out of 100.

The assessment criteria are described in full at Appendix D.

- Criterion 1: Strategic fit and path to impact [for Themes 1–3 only; Theme 4 projects are not scored on this criterion]
- Criterion 2: Research context
- Criterion 3: Methods
- Criterion 4: Planning and feasibility
- Criterion 5: Track record of the team
- Criterion 6: Data submission history
- Criterion 7: Budget
- Criterion 8: Outreach and education

Projects requesting an AAS grant undertake an additional assessment of grant items requested. In some instances, the expert assessment panel may recommend that funds are, or are not, spent on specified items.

2. RJL Hawke post-doctoral Fellowship

The score for the fellowship comprises 50 per cent research project assessment (as per the Theme 1–3 assessment) and 50 per cent track record of the fellowship candidate (see Appendix D). A threshold score of 80 out of 100 is required for the project assessment to ensure an excellent project is undertaken by the RJL Hawke fellow.

Prior to awarding the RJL Hawke fellowship the AAD may wish to interview the candidate.

Strategic assessment

A subgroup of the expert assessment panel will assess the strategic relevance, or fit, of proposals (Criterion 1) and outreach (Criterion 8).

One member of this group will act as sponsor for each proposal and will speak to the application in detail. Theme Leaders will present a report on how well each project addresses the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*, stream implementation plans and key research questions for Themes 1–3. Theme 4 Frontier Science projects will only have outreach (Criterion 8) assessed by this subgroup.

Scientific assessment

A subgroup of the expert assessment panel will assess the scientific merit of proposals (Criteria 2–5 and Criterion 7).

One member of this group will act as sponsor for each proposal and will speak to the application in detail, interpreting the reviewer's comments and the CI's rejoinder. This subgroup will determine the scores for Criteria 2–5 based on the peer reviews and the rejoinder, and will assess the suitability of the project budget (Criterion 7).

A score for Criterion 6 (data submission history) will be provided to both expert assessment panels by the Australian Antarctic Data Centre (AADC).

Step 5: Project score and final approvals

Scores from both subgroups and the AADC will be listed in ranked order and provided to the AAD Director for approval.

The Director will use the advice from the expert assessment panel and AAD operational planning to determine which projects are to be offered support and/or be recommended to the delegate for grant approval.

Those projects being offered a place in the AASP will progress through permit allocation and ethics approval processes where required, as well as any operational or grant funding approval processes, before receiving final approval to proceed.

A flowchart of the assessment process is at Appendix E.

Notifications

Application submission will be acknowledged by email. This email will include a copy of the application, including attachments, as well as the certification form as a pdf. If you do not receive this email within an hour of submitting, contact planning@aad.gov.au.

All applicants will be informed by email whether or not their application and/or grant has been approved. All proposals will receive written feedback on their application assessment by the expert panel.

All approved projects will be included on the AAD website in the database of current and previous projects. Projects receiving a grant are also listed on the Australian Antarctic Science Grants awarded webpage once approved by the delegate.

Conditions of participation in the Australian Antarctic Science Programme

All projects

CIs of all approved projects will be required to sign an agreement letter before participating in the AASP. The agreement letter outlines the following requirements:

- permits
- reporting
- data management
- working in the field
- AAS grant funding agreements and payment
- publications
- promotion and publicity.

Reporting

Annual (milestone) reports

Successful applicants are required to provide an annual report on project progress in April/May each year. The annual report form is available online within the application system, and the date required for report submission will be advised by email.

Annual reports will be considered by Theme Leaders, who will use the reports to determine whether projects should continue to be supported by the programme and the extent to which the goals of the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21* are being met.

Theme Leaders will consider progress made in field and laboratory activity, the extent of analysis carried out, the summary of findings to date, and any publications resulting from the research. A satisfactory assessment from Theme Leaders is required for continuation of the project into the next year and, in the case of grant holders, to receive the next instalment of funding.

Final report

A final report is required at the end of the final approved year of the project. The final report form will be available online, and CIs will be contacted when they are required to complete the form. The final report will be considered by Theme Leaders to assess the success of the project in achieving the objectives, outputs and outcomes identified in the approved application. A satisfactory final report is required to ensure any future participation by the CI in the AASP.

Data management

Data management plans (DMPs) are mandatory for all AASP projects and must be submitted within six months of project approval notification. DMPs are created from within the online application MyScience. Access to MyScience is limited to science project staff who have past or current AAS projects and who have created an account on the Australian Antarctic Data Centre (AADC) website. DMPs are assessed and approved by the AADC.

Data policy overview

Article III.1.c of the Antarctic Treaty states 'scientific observations and results from Antarctica shall be exchanged and made freely available.' Australia has endorsed this clause and established the AADC to assist in fulfilling its obligations under this Treaty. For more information see the AAP Data Policy.

Ownership and management of data and samples

All data and samples collected under the AAP remain the property of the Commonwealth of Australia. This excludes samples collected from Macquarie Island which are the property of the Tasmanian Government. CIs are responsible for ensuring that all data and samples generated as part of their research are adequately managed for long-term re-use. This generally involves ensuring from the outset that all data/samples are adequately documented with metadata and that arrangements are made for data to be deposited with the AADC. Alternative long-term repositories will be considered to host data but this will require a due diligence check of the nominated repository by the AADC.

Appropriate metadata must be created in the AADC's metadata system (the catalogue of Antarctic and subantarctic metadata CAASM) to describe any captured data and all data must be submitted to the AADC, or an approved long-term repository, by the project's end date. Metadata creation can also be accomplished from within MyScience. Progress towards completion of metadata and submission of all datasets will be recorded through the

AADC online MyScience application. Note that all metadata records are made public after initial moderation and should be available from an early point in the project's execution.

Chief investigator data management responsibilities

The main responsibility of CIs is to ensure that projects under their management comply with all aspects of the data policy:

- Submit a DMP to the AADC within six months of the project approval date.
- Submit data (raw, processed and ancillary), derived products and associated metadata in an acceptable form to the AADC within the timelines set for data submission.
- Make provision for the management of any physical samples in an appropriately catalogued collection (information on collecting and importing scientific samples is available on the AAD website).
- Provide updated information on progress against tasks in the DMP in annual reports.
- Adopt the norm of formally citing data used in their research within reports and peer reviewed publications (as per data policy guidelines).

Data publication and data usage

Unless there are extenuating circumstances, project data submitted to the AADC will be made publicly available, usually after a suitable embargo period. Data may also be published through global data access networks such as the Global Biodiversity Information Facility (GBIF). Under the open spirit of the AAP Data Policy any person intending to access and use AAP data is encouraged to contact the data originator to discuss intended usage before applying the data.

Extenuating circumstances that argue for a delay in publication or a restriction in the data's distribution must be presented to the AADC Manager. The AADC Manager will then provide advice to the AAD Chief Scientist who will determine the merits or otherwise of the request.

Working in the field

All participants in the AAP who travel to Antarctica and the subantarctic or who conduct marine science in the Southern Ocean are called expeditioners. All expeditioners must undergo pre-departure medical, psychological and security checks, and agree to abide by certain conditions (including codes of behaviour), comply with training requirements and hold necessary insurances before being accepted into the programme. More detail is provided below and on the AAD website.

Delays in travelling to Antarctica are not uncommon, and passengers should budget for up to two nights of additional accommodation should the ship or aircraft be delayed. In the event of a flight 'no go' or 'turnaround' situation (that is, where expeditioners have booked out of their accommodation and have travelled to the airport) the AAD will arrange short-term accommodation for those with a

requirement and will advise expeditioners either directly or through the Flight Representative. In this situation short-term accommodation will be provided at AAD cost.

Medical fitness

Expeditioners must be certified fit for Antarctic service by medical officers of the AAD's Polar Medicine Unit after an examination by a Sonic HealthPlus medical advisor or other approved medical officer.

The standard medical examination costs approximately $900 and the CI will be responsible for paying these costs for all field personnel participating in the proposed project. In some cases, further investigations are required to determine medical fitness which may necessitate referral to specialists. These additional costs will also be the responsibility of the CI.

Expeditioners will be contacted and asked to complete a medical checklist prior to a medical examination.

Psychological (adaptability) assessment

Expeditioners deployed for three months or longer (from date of departure to date of return), or field based regardless of duration, will be required to attend a psychological (adaptability) assessment. Summer-only expeditioners who have obtained a suitable rating within the last three years will be exempt from this assessment. Foreign scientists and special visitors approved by the Director of the AAD may also be exempted.

Personal qualities assessment

Expeditioners deployed for three months or longer will be required to undertake a personal qualities assessment. This is separate to the psychological (adaptability) assessment, but will often take place around the same time. Expeditioners who have participated in the AAP in the last three years are exempt from this assessment.

Code of behaviour

All expeditioners must abide by the *Antarctic Service Code of Personal Behaviour*, *Australian Public Service (APS) Values*, and *APS Code of Conduct*. Expeditioners are required to sign the document *Acceptance of Conditions for Participation in the AAP*, which encompasses these behaviours and code. Any person who chooses not to abide by these conditions will not be permitted to participate.

Rostered duties

All expeditioners, including researchers on Australian Antarctic stations are usually required to perform other duties as rostered by the station leader in addition to the duties of their own position. For example, summering scientists are usually asked to assist with general kitchen duties.

Insurance

Volunteers and expeditioners not employed by the Australian Government are required to sign a *Release and Indemnity form* absolving the government of responsibility for any loss or injury suffered during participation, on the expectation that expeditioners engaged by other organisations, including universities,

are covered for loss of income, injury or death under their organisation's workers' compensation, and travel insurance.

Further information regarding insurance, including personal effects, is available in the expeditioner handbook.

Training

All expeditioners are required to participate in briefings and/or training programmes prior to departure. Where required, relevant field training is also conducted in Antarctica.

Expeditioners may be exempted from the field component of this training by the Operations Manager if they have recently participated in field training.

Costs associated with training are the responsibility of the CI.

Security checks

The Australian Government has introduced mandatory requirements for accessing government facilities and IT networks. These requirements include providing proof of identity, completing a character check (usually a Police History Check for Australian residents or for non-Australian residents either a Police History Report from their country or a certification of their character from the organisation/institution in which they are employed) and signing a confidentiality agreement for official information.

Additional field costs

While the AAD covers most costs associated with project fieldwork, if satellite communications (for example, Iridium phones) are required in the field, those costs will be attributable to the project. Data transfers from the ship may be charged depending on the amount. Phone calls from station and ship are charged to the individual or project.

AAS grants

Funding agreements

Successful grant applicants must enter into a legally binding funding agreement with the Australian Government within the timeframe specified in the letter of offer provided to successful applicants.

The funding agreement sets out the general reporting, promotional and auditing terms under which funding is provided and will apply uniformly to all successful applicants.

Special conditions may vary between proposals and will be outlined in the agreement schedule.

A sample funding agreement is available on the AAD's website.

Payment of funding

Payment for the first year of the project will be made on signing of the funding agreement, provided all required conditions have been met before project commencement, as set out in the funding agreement. AAS grants are not subject to GST (unless otherwise determined on a case-by-case basis).

Payments for subsequent years will be made on achievement of milestones outlined in the funding agreement.

Applicants with one-year grants need only to submit a correct tax invoice on funding agreement execution to receive payment.

Approved items are included in the funding agreement and are listed in the same categories as in the application so the CI can see how funding is planned for distribution through the life of the project.

Details of all grants approved are listed on the AAD website once funding agreements are signed.

Grants correspondence should be between the responsible officer of your institution or organisation and the AAS Grants Officer.

Publications

Chief investigators must ensure all publications arising from their project are entered on the AAD publications database, through the MyScience request facility or directly by providing the citation and a relevant project number to publications@aad.gov.au.

Promotion and publicity

All publications, presentations and reports that have been part of the project must acknowledge the logistical and/or grant funding support provided by the AAD. This must include reference to the project number.

The AAD should be informed in advance of any planned media relating to an approved project. CIs are encouraged to make contact early so the AAD communications section can assist in maximising uptake of the media release.

Governance

Appeals

Appeals will be considered **only** against process issues relating to the science application. They will not be considered against expert assessment panel decisions or assessor ratings and comments. Appeals must be lodged through the applicant's administering organisation's research office and be received within 28 days of the date on the letter notifying the outcomes of applications (the 'advice letter'). The appeal should state the grounds for the appeal and be signed by the appellant and the Deputy Vice-Chancellor (Research) or delegate.

The signed appeal should be sent to:

Manager
Science Planning and Coordination
Australian Antarctic Division
203 Channel Highway
Kingston TAS 7050

Feedback and complaints

Feedback is important to the AASP and applicants are encouraged to provide feedback using the feedback form, within the online application form or sending feedback by email to planning@aad.gov.au or through the web AAD feedback form. The AASP incorporates ongoing business review and improvement into its design, stakeholder feedback, and other consultative processes. This approach helps to refine the programme over time and may inform changes to the programme as a whole. Opportunities to participate in review processes are periodically advertised on the AAD website.

The Department is committed to consistent, fair and confidential complaint handling and to resolving complaints as quickly as possible. Feedback and complaints will be handled impartially and in a confidential manner.

Complaints will be managed in line with the Department's Complaints Management Policy outlined in our Service Charter 2014–16.

If you are dissatisfied or have concerns about our day-to-day services, please raise this with the staff member concerned or their supervisor, then SP&C or the Chief Scientist. We will try to resolve the problem immediately.

If you wish to take the matter further or you would prefer to speak to someone else please contact:

Client Service Officer
Department of the Environment
GPO Box 787
Canberra ACT 2601
Toll free: 1800 803 772
Phone: +61 2 6274 2725
Email:
Client.Service@environment.gov.au

Disclosure of information

The AAD collects information on the AASP application form to assess applications for funding and programme support. The AAD may give some or all of this information to:

- independent peer reviewers and assessment panel members who are responsible for assessing applications
- operational members of the AAD for planning and support purposes
- AAD environmental permitting staff and to the Macquarie Island Research Advisory Group for projects that require permits for research to be conducted on Macquarie Island
- members of parliament and the media who may help in publicising successful projects and the programme as a whole.

The name of the applicant, public summary, and the funding awarded may be disclosed in documentation such as media releases and will be made publicly available on the AAD website and in the Department of the Environment annual report.

Information contained in annual or final reports may be used for reporting and/or administrative purposes by the AAD. Only the sections clearly defined as 'public' will be released publicly.

The Australian National Audit Office may request access to all relevant activity files.

All information submitted to the Australian Government is subject to the requirements of the *Freedom of Information Act 1982 and the Privacy Act 1988.*

For further information, see the AAD website privacy statement.

Collection of personal information

The AASP online application system collects and stores personal information from applicants for use in the administration of the AAP, for use and/or disclosure as necessary, including to allow administrators to

contact applicants in relation to their applications or primary contacts in case of emergency.

Personal information contained in the system can be viewed online. It is important that personal information held in the system is accurate, up to date, and complete. If you cannot alter any of this information, contact SP&C.

Governance arrangements

The Australian Government Australian Antarctic Science Programme is administered by the Australian Antarctic Division within the Department of the Environment.

The assessment process will determine whether the proposal represents an efficient, effective, economical and ethical use of government resources, as required by Commonwealth legislation, and whether any specific requirements will need to be imposed as a condition of funding.

Main governance roles are listed in Appendix F.

Probity

The Australian Government is committed to ensuring the process for providing logistical support and grant funding under the AASP is fair and in accordance with published guidelines. For more detail see the AAS assessment process and probity plan.

In summary the guidelines require:

Fairness and impartiality: applicants will be treated equally and have the same opportunity to access information and advice.

Consistency and transparency of process: applications will be evaluated in a systematic manner against explicit predetermined assessment criteria.

Security and confidentiality: the processes adopted for receiving and managing applicant information will ensure the security and confidentiality of intellectual property and proprietary information.

Identification and resolution of potential conflicts of interest: staff involved in the application and assessment process are required to declare and address any actual or perceived conflict of interest prior to providing any advice or assessment.

Conflict of interest

Departmental staff are required to declare any conflicts of interest to the AAD Chief Scientist prior to application assessment.

Expert assessment panel members are required to declare any conflicts of interest:

- in a form submitted to the Chair prior to any meeting
- verbally to the Chair on the day of the meeting who determines whether there is a conflict of interest and if the member should leave the room during assessment of that application.

A conflict of interest for these parties includes any:

- financial interest in the grant applicants or applications

- relatives or friends with a financial interest in the grant applicants or applications
- personal bias or inclination which would affect a decision in relation to grant applicants or applications
- personal obligation, allegiance or loyalty which would in any way affect a decision in relation to the grant programme.

If any conflict of interest applies the panel member and/or Departmental staff member will not assess the relevant application.

Applicants are required to declare as part of their application existing or perceived conflicts of interest that would, may impact on, or prevent the applicant proceeding with the project or any funding agreement it may enter into with the Australian Government.

Where an applicant subsequently identifies that an actual, apparent, or potential conflict of interest exists or might arise in relation to their application for funding, the applicant must inform the Department in writing immediately.

A conflict of interest may exist for an applicant or any project personnel if they:

- have a relationship (whether professional, commercial or personal) with a party who is able to influence the application assessment process, such as a departmental staff member
- have a relationship with, or interest in, an organisation, which is likely to interfere with or restrict the applicant in carrying out the proposed activities fairly and independently
- have a relationship with, or interest in, an organisation from which they will receive personal gain as a result of the granting of funding under the programme.

Programme evaluation

The AAD provides regular evaluation to the Australian Government, through the Minister, of the success of the Antarctic programme in meeting Australia's scientific objectives. Theme Leaders and the Chief Scientist formally monitor progress to meet the programme objectives, taking into account the assessment of annual milestone reports and discussion with the AAD Director. In addition, Theme Leaders review and update Stream Implementation Plans prior to each application round to ensure the programme is targeting high priority research areas.

Appendix A: Organisations eligible to receive AAS grant funding

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 Federation University Australia La Trobe University Monash University RMIT University Swinburne University of Technology The University of Melbourne University of Divinity Victoria 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
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 Torrens University Australia 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
Multi-State	Australian Catholic University

State-funded museums and institutions

State-funded museums and institutions must obtain prior approval from the Chief Scientist before seeking AAS grant support. In doing so applicants will need to demonstrate the research planned could not be considered a core responsibility for their state institution to support.

Appendix B: Legislative requirements (including Macquarie Island)

Any project activity conducted by a project team, or someone on behalf of the project, in Antarctica, Heard Island and McDonald Islands, or during Marine Science, is subject to environmental laws and is likely to require an authorisation or permit from the Department of the Environment. Any project activity at Macquarie Island is subject to approval by the Tasmanian Government.

Applicants wishing to conduct research in the Antarctic or subantarctic need to be aware of, and comply with, all national and state legislative requirements.

National environmental legislative requirements for the Antarctic and subantarctic Territory of Heard Island and McDonald Islands

Most activities require environmental authorisation and certain activities require permits, such as for entry to Antarctic protected areas, entry to the Territory of Heard Island and McDonald Islands, use of helicopters, disturbance on foot, vehicle or aircraft or other interference with seabirds and marine mammals, sampling, import and export of specimens, introduction of non-indigenous species, use of weapons, etc. may be offences under national laws, unless the activities have been assessed to identify the impact it is likely to have on the environment and/or authorised in a permit(s).

Detailed information on environmental impact assessment and permit requirements are available in the Environment Section of the AAD website. This site provides relevant downloadable forms and has links to other related sites.

Applicants must be aware of, and have satisfied, all environmental legislative requirements before departing for the Antarctic or subantarctic.

State environmental legislative requirements for Macquarie Island Nature Reserve

Macquarie Island is part of the state of Tasmania. In accordance with Section 37 of the *National Parks and Reserves Management Act 2002*, Macquarie Island Nature Reserve (including its surrounding waters to three nautical miles) is declared a Restricted Area to which the public has no general right of access. Pursuant to Regulation 11 of the National Parks and Reserved Land Regulations 1999, a person must not enter or remain in the reserve unless the person is granted authority by the Director, or the person is accompanied by an authorised person. Special Management Areas are declared from year to year to further protect vulnerable species, vegetation communities or sites extremely vulnerable to human disturbance.

Permits for scientific research on Macquarie Island are required, and are issued by the Tasmanian Department of Primary Industries, Parks, Water and Environment. The application form and guidelines are available from the Department website.

Appendix C: Main contacts

Chief Scientist

Australian Antarctic Division
Phone: +61 3 6232 3205
Email: chiefscientist@aad.gov.au

Theme Leaders:

Climate Processes and Change
Australian Antarctic Division
Phone: +61 3 6232 3185
Email: CPCThemeLeader@aad.gov.au

Terrestrial and Nearshore Ecosystems: Environmental Change and Conservation
Australian Antarctic Division
Phone: +61 3 6232 3136
Email: TNEThemeLeader@aad.gov.au

Southern Ocean Ecosystems: Environmental Change and Conservation
Australian Antarctic Division
Phone: +61 3 6232 3185 [Streams 3.1 and 3.4]
Phone: +61 3 6232 3136 [Streams 3.2 and 3.3]
Email: SOEThemeLeader@aad.gov.au

Frontier Science
Australian Antarctic Division
Phone: +61 3 6232 3205
Email: FrontierScienceThemeLeader@aad.gov.au

Science Planning and Coordination

Phone: +61 3 6232 3600
Email: planning@aad.gov.au

Australian Antarctic Division
203 Channel Highway
Kingston TAS 7050
Australia

Phone: +61 3 6232 3209

Appendix D: Assessment criteria

1. Research, Monitoring and co-funded post-doctoral projects

Some criteria apply to all categories and Themes but some are specific to research, monitoring or Frontier Science projects. The maximum score available is 100.

Criterion 1: Strategic fit and path to impact (research projects)
[Maximum score 40]

Criterion 1 considers research and monitoring projects separately, but does not apply to Theme 4 Frontier Science proposals. The criterion will be considered by the expert assessment panel, not by reviewers. Where multiple streams and/or key research questions are addressed in an application, the panel will make a determination on the most appropriate scoring method for that application.

1a) Will the research proposed provide a significant advance in answering a key research question in the Australian Antarctic Science Strategic Plan and is it identified as a priority in the relevant stream implementation plan?
[Maximum score 25]

i. Not demonstrated. [Score = 0]

Research planned is identified as a *priority 3* in the implementation plan:

ii. but the project is likely to only *provide limited relevant information* toward answering the key research question(s) selected. [Score = 1]

iii. and is likely to *produce a useful contribution* toward answering the key research question(s) selected. [Score = 6–8]

iv. and is specifically designed to *produce a significant contribution* toward answering the key research question(s) selected. [Score = 15–17]

Research planned is identified as a *priority 2* in the implementation plan:

v. but the project is likely to only *provide limited relevant information* toward answering the key research question(s) selected. [Score = 2–3]

vi. and is likely to *produce a useful contribution* toward answering the key research question(s) selected. [Score = 9–11]

vii. and is specifically designed to *produce a significant contribution* toward answering the key research question(s) selected. [Score = 18–20]

Research planned is identified as a *priority 1* in the implementation plan

viii. but the project is likely to only *provide limited relevant information* toward answering the key research question(s) selected. [Score = 4–5]

ix. and is likely to *produce a useful contribution* toward answering the key research question(s) selected. [Score = 12–14]

x. and is specifically designed to *produce a significant contribution* toward answering the key research question(s) selected. [Score = 21–25]

Research planned is *not identified* in the implementation plan, but:

xi. the approach proposed is considered better than that given in the implementation plan, and is specifically designed to *produce a useful contribution* toward answering the key research question(s) selected. [Score = 12–14]

xii. the approach proposed is considered better than that given in the implementation plan, and is specifically designed to *produce a significant contribution* toward answering the key research question(s) selected. [Score = 21–25]

1b) Has the applicant demonstrated there is a clearly identified end user for the research, and provided a credible path for adoption of the research within science and end-user communities?
[Maximum score 15]

i. Not demonstrated. [Score = 0]

ii. Research is unlikely to deliver useful outputs and/or outcomes in a form that is useful to the end user. [Score = 1–5]

iii. Research is likely to produce usable outputs and/or outcomes that should be useful for the end user. [Score = 6–10]

iv. Research is specifically designed to produce the required outputs and/or outcomes in a form appropriate for the end user. [Score = 11–15]

Criterion 1: Strategic fit and path to impact (monitoring projects)
[Maximum score 40]

This criterion comprises three threshold questions and a scoring question. Proposals must comply with at least one threshold question before proceeding to the scoring question.

Threshold questions:

Is the need for the monitoring justified? [Y/N]

Is the data required for Australian Government responsibilities or an international agreement that requires access to an Antarctic/Southern Ocean monitoring location? [Y/N]

Is the need for this data included in the Implementation Plans for Theme 1, 2 or 3? [Y/N] If not does it replace an existing monitoring programme and is it a better way to do it? [Y/N]

Scoring question:

Will the monitoring proposed produce the required outputs and/or outcomes and is there an appropriate plan for archiving and analysing the data?
[Maximum score 40]

i. Monitoring data that would be collected are unlikely to deliver useful outputs and/or outcomes. [Score = 0–5]

ii. Monitoring data that would be collected are likely to produce usable outputs and/or outcomes. [Score = 6–20]

iii. Monitoring data are designed specifically to produce outputs and/or outcomes at a high standard and in a readily available form. [Score = 21–40]

Criteria 2–7 apply to all projects, but Theme 4 Frontier Science projects are subject to a different scoring system for some criteria (shown in italics).

Criterion 2: Research context

[Maximum score 10 for Theme 1–3 research and monitoring projects and *20 for Theme 4*]

Has the applicant demonstrated sufficient knowledge of the context for this research?

i. Not demonstrated. [Score = 0]

ii. Partial understanding of the scientific context for this research is demonstrated. [Score = 1/*2*]

iii. Good understanding of the scientific context for this research is demonstrated. [Score = 2–5/*4–10*]

iv. Very good understanding of the scientific context for this research is demonstrated. [Score = 6–10/*11–20*]

Criterion 3: Methods

[Maximum score 20 for Theme 1–3 research and monitoring projects and *40 for Theme 4*]

Are the methods proposed for data collection (including field work), analysis of samples and statistical analysis planned designed to appropriately meet the objectives of the project?

i. Not demonstrated. [Score = 0]

ii. Poorly designed collection of data, analysis of samples or statistical analysis. [Score = 1–5/*2–10*]

iii. Generally well designed collection of data, analysis of samples and statistical analysis. [Score = 6–14/*11–28*]

iv. All aspects of data collection, analysis of samples and statistical analysis are very well designed. [Score = 15–20/*29–40*]

Criterion 4: Planning and feasibility
[Maximum score 5 for all projects]

Is the project well planned, with roles and milestones clearly identified and the timeline appropriate?

i. Not demonstrated. [Score = 0]

ii. Planning and feasibility appropriate for some aspects but not all. [Score = 1]

iii. Reasonable planning and timeline outlined. [Score = 2–3]

iv. Project very well planned with clear roles and milestones and timeline well considered. [Score = 4–5]

Criterion 5: Track record of the team
[Maximum score 7 for Theme 1–3 research and monitoring projects and *12 for Theme 4*]

This criterion will be assessed from CVs submitted with the application. Early career scientists (within five years of completing their PhD) should identify this in their CV.

Projects applying for the RJL Hawke fellowship will be scored on the team supporting the fellowship candidate in this criterion. The score for the track record of the RJL fellowship candidate is undertaken separately.

Do the Chief Investigator and Project Team have the skills and publication track record to deliver the outputs and/or outcomes of the project within the timeframe requested?

i. Not demonstrated. [Score = 0]

ii. Chief Investigator and team have demonstrated limited experience or capability in leading and delivering timely outputs and/or outcomes from research projects. [Score = 1/*1–2*]

iii. Chief Investigator and team have demonstrated that they have experience or capability to lead and deliver timely outputs and/or outcomes from research projects. [Score = 2–4/*3–7*]

iv. Chief Investigator and team have demonstrated that they have a very good track record of experience and good capability to lead and deliver timely outputs and/or outcomes from research projects. [Score = 5–7/*8–12*]

Criterion 6: Data submission history
[Maximum score 3 for all projects]

This will be assessed by checking Australian Antarctic Data Centre (AADC) records for all AAS projects commenced after 1996 where the Chief Investigator has previously managed projects. The report will be provided to the expert assessment panel by the AADC.

Where a Chief Investigator is new to the programme, or they have not previously managed an AAS project, their track record for this criterion will be assumed to be good and they will be awarded the maximum score.

Does the Chief Investigator have a good record of managing projects that deliver all required data/metadata to the Australian Antarctic Data Centre (AADC) in accordance with AAP data policy?

i. Chief Investigator has delivered no metadata or data for any previously managed projects. [Score = 0]

ii. Chief Investigator has delivered limited metadata or data for one or more previously managed projects. [Score = 1–2]

iii. Chief Investigator has delivered all metadata or data for any previously managed project. [Score = 3]

iv. Chief Investigator has not previously managed an AAS project. [Score = 3]

Criterion 7: Budget
[Maximum score 10 for Theme 1–3 research and monitoring projects and *15 for Theme 4*]

This criterion will be considered by the expert assessment panel, not by reviewers.

Is the budget appropriate to complete the project and does it represent good value for money?

i. Not demonstrated. [Score = 0]

ii. Budget partially appropriate. [Score = 1–4/*1–5*]

iii. Budget appropriate, justified and represents good value for money. [Score = 5–7/*6–10*]

iv. Budget well planned, justified and represents excellent value for money. [Score = 8–10/*11–15*]

Criterion 8: Outreach and education
[Maximum score 5 for all projects]

This criterion will be considered by the expert assessment panel, not by reviewers.

Does the project have an appropriate outreach and education plan?

i. Not demonstrated. [Score = 0]

ii. Partially appropriate. [Score = 1–3]

iii. Appropriate outreach and education plan. [Score = 4–5]

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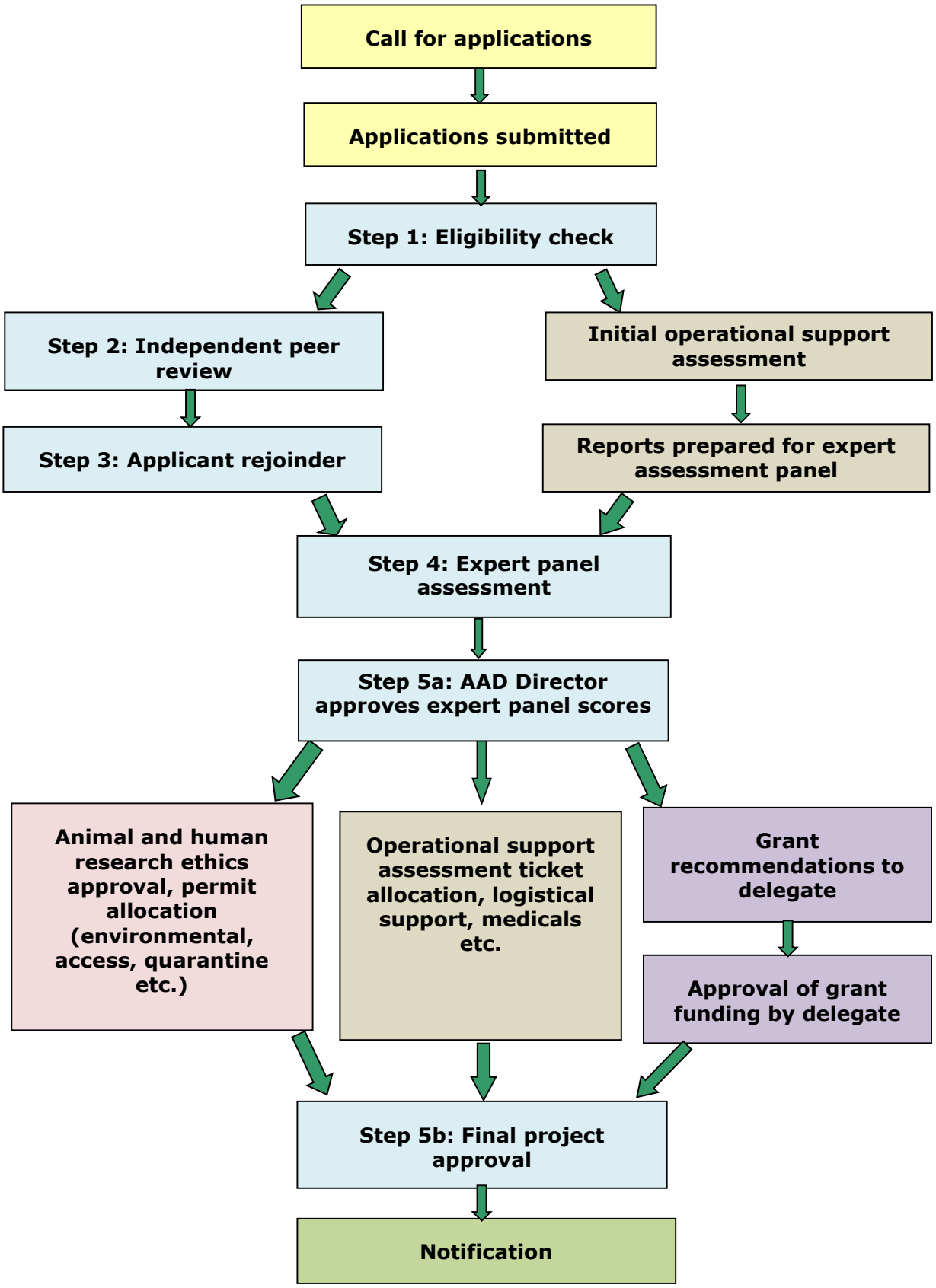
2. RJL Hawke Fellowship Assessment

The score for the fellowship comprises 50 per cent research project assessment (per the Theme 1–3 assessment) and 50 per cent track record of the fellowship candidate. A threshold score of 80 out of 100 is required for the project assessment to ensure an excellent project is undertaken by the RJL Hawke fellow.

The track record of the RJL Hawke fellow will be assessed using the following criteria:

- Demonstrated skills and experience in a field of research relevant to the project.
- Excellent written and oral communications skills, a strong 'early-career' publication record including presentations at workshops and/or conferences.
- Two academic referee reports supporting the suitability of the fellowship candidate.

Appendix E: Application process flowchart



Appendix F: Main governance roles

The **Delegate** is the grant funding approver (Approver). The delegate is independent of the grant allocation process and has financial responsibilities (outlined in the *Commonwealth Grants Rules and Guidelines*) as well as overall responsibility for approving or declining grant recommendations from the AAD. Allocations of grants are considered in relation to the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) to ensure spending proposals are consistent with the policies of the Commonwealth and make efficient, effective, economical and ethical use of relevant money.

The **expert assessment panel** is responsible for the assessment and ranking of all research applications (including grant requests). The panel includes scientists and policy makers, most of whom are external to the AAD. The panel operates through two subgroups for the assessment of applications: one subgroup assesses the strategic relevance of the application and the other conducts a detailed scientific assessment. The subgroups will have the same chair.

The **Director AAD** receives recommendations from the expert assessment panel and determines which projects will be approved and which projects will be recommended to the delegate for grant funding.

The **Chief Scientist** of the Australian Antarctic Programme:

- Oversees the Australian Antarctic Science Programme, and has specific duties in relation to the contribution of the AAD Science Branch to that programme, and the relevance of the programme to international Antarctic research programmes.
- Is the primary contact for the Frontier Science Theme.
- Is responsible for the development of a coordinated programme of research across the AASP, and provides advice to the Director, AAD, on scientific programme priorities, developments and achievements.
- Is a member of the expert assessment panel.

Theme Leaders:

- Lead the implementation of research identified under their theme and manage stream development.
- Provide leadership and support within their research theme.
- Provide ongoing support and communication on a regular basis to all researchers participating in the programme under their theme.
- Assist in the development of the stream implementation plans within their theme to utilise resources as efficiently as possible for the highest priority research projects.

- Assess the progress of continuing projects and advise the expert assessment panel of any issues, including change of investigators, changes in requested logistical support, and lack of expected progress.
- Identify areas of research requiring particular attention and establish collaborative links with researchers with the capability to address these areas.
- Coordinate and where appropriate lead delivery of core theme outputs to government stakeholders.
- Report annually to the programme's Chief Scientist on progress in relation to the plan.

Science Planning and Coordination Section:

- Coordinates (with Theme Leaders) the processes necessary for development of individual programmes, and integrates plans into a logistics framework.
- Maintains formal governance procedures that ensure decisions are documented to the satisfaction of government administrative requirements.
- Manages the Australian Antarctic Science Grant Programme.
- Manages the application process.
- Provides secretariat support to the expert assessment panel, AAPAEC and manages human research ethics approvals.
- Manages the publications database for the AAD.

The **Manager** Science Planning and Coordination is the programme and grant manager. This position has day-to-day responsibility for the AAS grant programme, including signing funding agreements on behalf of the Department, approving payments, and approving requests for changes in the way grant funding is spent.

The **AAS Grants Officer (SP&C)** is the grant programme administrator. This position is responsible for all administrative aspects of the AAS grant programme and is the first point of contact for all grant programme enquiries.