



**Australian Government**

**Department of the Environment and Energy**

Australian Antarctic Division

# Australian Antarctic Science Program (including Grant Program) 2018-19 Round Guidelines

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Commonwealth policy entity:	Department of the Environment and Energy, through the Australian Antarctic Division
Co-Sponsoring Entities	Nil
Enquiries:	If you have any questions, please contact Science Planning and Coordination, +61 (0)3 6232 3600, <a href="mailto:planning@aad.gov.au">planning@aad.gov.au</a>
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# Contents

<b>1. Australian Antarctic Science Program (including Grant Program) Overview</b>	<b>4</b>
1.1 About the Australian Antarctic Science Program	5
1.2 About the Opportunity	6
1.3 Australian Antarctic Science Program	7
1.4 Australian Antarctic Science Grant Program	7
<b>2. Grant amount</b>	<b>8</b>
<b>3. Application eligibility criteria</b>	<b>9</b>
3.1 Who is eligible to apply for a grant?	9
3.2 What qualifications or skills are required?	10
<b>4. Eligible grant items</b>	<b>10</b>
4.1 What can the grant money be used for?	10
4.2 What items cannot be requested for grant funding?	13
<b>5. Application assessment process</b>	<b>14</b>
<b>6. The assessment criteria</b>	<b>17</b>
<b>7. The application process</b>	<b>22</b>
7.1 Overview of application process	22
7.2 Application process timing	22
7.3 Completing the application	23
7.4 Questions during the application process	25
7.5 When do projects commence?	25
<b>8. Assessment of applications, including grant applications</b>	<b>27</b>
8.1 Who will assess applications?	27
8.2 Who will approve applications, including grants?	27
<b>9. Notification of application outcomes</b>	<b>28</b>
9.1 Feedback on your application	28
<b>10. Successful grant applications</b>	<b>29</b>
10.1 The grant agreement	29
10.2 How the grant will be paid	29
10.3 Grant agreement variations	29
<b>11. Announcement of grants</b>	<b>30</b>
<b>12. Conditions of participation in the Australian Antarctic Science Program</b>	<b>30</b>
<b>13. Delivery of project activities</b>	<b>33</b>

13.1	Your responsibilities	33
13.2	The Australian Antarctic Division's responsibilities	34
13.3	Grant payments and GST	34
13.4	Evaluation	34
13.5	Acknowledgement	34
<b>14.</b>	<b>Probity</b>	<b>35</b>
14.1	Complaints process	35
14.2	Conflict of interest	36
14.3	Privacy: confidentiality and protection of personal information	36
14.4	Freedom of information	38
<b>15.</b>	<b>Consultation</b>	<b>38</b>
<b>16.</b>	<b>Glossary</b>	<b>38</b>
	<b>Appendix A: Organisations eligible to receive AAS grant funding</b>	<b>40</b>
	<b>Appendix B: Application process flowchart</b>	<b>41</b>
	<b>Appendix C: Main governance roles</b>	<b>42</b>
	<b>Appendix D: Australian Antarctic Division contacts</b>	<b>44</b>
	<b>Appendix E: Legislative requirements (including Macquarie Island)</b>	<b>45</b>

# 1. Australian Antarctic Science Program (including Grant Program) Overview

## **The Program is designed to achieve Australian Government objectives**

This opportunity is part of the Grant Activity that contributes to Department of Environment and Energy Outcome 3: 'Advance Australia's strategic, scientific, environmental and economic interests in the Antarctic region by protecting, administering and researching the region'. The Department of the Environment and Energy works with stakeholders to plan and design the program according to the [Commonwealth Grants Rules and Guidelines](#) (CGRGs).



## **The program opens for applications**

We publish the program guidelines and advertise on [GrantConnect](#).



## **You complete and submit an application**

We accept applications requesting AAD logistical support only, grants without logistics, and grants with logistics. We accept grant applications only from eligible institutions.



## **We assess all applications**

We assess all applications against eligibility criteria and notify you if you are not eligible to progress. The application undergoes independent peer review against the relevant assessment criteria and you can submit a rejoinder to address reviewer comments. An expert panel assesses each application, taking into consideration reviewer and rejoinder comments, including an overall consideration of value for money, and compare it to other applications.



## **We make recommendations**

We provide advice to the decision maker (Director, Australian Antarctic Division) on the merits of each application.



## **Decisions are made**

The decision maker (Director, Australian Antarctic Division) decides which applications are successful. The delegates (Department representatives) approve grant funding amounts and distribution over the life of the project.



### **We notify you of the outcome**

We advise you of the outcome of your application.



We will enter into a grant agreement and/or letter of agreement with successful applicants.



### **Delivery of activity**

You undertake the project as set out in your approved application and/or grant agreement. We manage the project by working with you, monitoring your progress and making grant payments where applicable.



### **Evaluation of the Australian Antarctic Science Program**

We evaluate project activities and the program as a whole. We base this on information you provide to us and that we collect from various sources.

## **1.1 About the Australian Antarctic Science Program**

### **Acronyms**

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

### **The Australian Antarctic Program**

The Australian Antarctic Division (AAD) is a division of the Department of the Environment and Energy (the Department). The AAD is responsible for contributing to the Department's Outcome 3: 'Advance Australia's strategic, scientific, environmental and economic interests in the Antarctic

region by protecting, administering and researching the region', and leads the Australian Antarctic Program (AAP).

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

A science program has always been a core component of Australia's Antarctic program. All Australian Antarctic Science Program (AASP) research is directed by the Australian Government's [Australian Antarctic Science Strategic Plan 2011–12 to 2020–21](#).

The AAD also provides funding to eligible participants through a formal grant program to support scientific Antarctic research. The Australian Antarctic Science Grant Program is a component of the AASP and **all applications, regardless of whether or not they are requesting a grant, are assessed through the same application system.**

### **The Australian Antarctic Science Program (including Grant Program)**

The objective of the Australian Antarctic Science Program (AASP) is to provide research scientists with access to government logistics 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 expected outcome of the AASP is to deliver high quality research that advances Australia's strategic, scientific and environmental interests in the Antarctic through four research themes:

- Climate Processes and Change
- Terrestrial and Nearshore Ecosystem: Environmental Change and Conservation
- Southern Ocean Ecosystem: Environmental Change and Conservation
- Frontier Science.

The Australian Antarctic Science Grant Program provides 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 the goals set out in the [Australian Antarctic Science Strategic Plan 2011–12 to 2020–21](#). Up to \$1,050,000 is available for grants each year.

The Grant Program will be undertaken according to the [Commonwealth Grants Rules and Guidelines](#) (CGRGs).

## 1.2 About the Opportunity

These guidelines contain information for the Australian Antarctic Science Program (including Grant Program).

This document sets out:

- the purpose of the program
- the purpose of the grant opportunity

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<sup>1</sup> For the purposes of these guidelines, references to work in Antarctica includes work in the subantarctic and Southern Ocean.

- the eligibility and assessment criteria
- how applications are monitored and evaluated
- responsibilities and expectations in relation to the opportunity.

You must read this document before completing an application.

## 1.3 Australian Antarctic Science Program

### Who can apply to lead an AAS project?

The applicant, or Chief Investigator (CI), for projects 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. CIs requesting grant funding have additional qualifying prerequisites, which are outlined in Section 3.1.

Chief Investigators are expected to possess relevant research experience of a high order; this will be assessed under *selection criterion 5*.

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](mailto: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 international scientists, particularly encouraging high quality collaborative proposals involving Australian researchers. However, international applicants are not eligible for a grant through the Program.

Internationally-based participants in the program, including CIs, co-investigators, assistants and students, 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.

## 1.4 Australian Antarctic Science Grant Program

### What types of AAS Grants are available?

Three types of grants are included in the program:

- Research project grants

- 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)
- Research or monitoring science projects that address the goals of the [Australian Antarctic Science Strategic Plan 2011–12 to 2020–21](#) and that require logistical support from the Australian Antarctic Division.
- Co-funded postdoctoral fellowship grants
  - These grants are available for a maximum three years and must include matching funding from the host university.
  - A research project grant cannot be sought in addition to a co-funded postdoctoral fellowship grant for the same project.
- RJL Hawke postdoctoral fellowship in Antarctic Environmental Science.
  - 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.
  - A research project grant cannot be sought in addition to a RJL Hawke postdoctoral fellowship in Antarctic Environmental Science for the same project.

For context and specific advice for the 2018-19 application round please refer to the [implementation plans](#) for each Theme, within the [Australian Antarctic Science Strategic Plan 2011–12 to 2020–21](#).

## 2. Grant amount

### How much can you apply for through the AAS Grant Program?

The Australian Government makes available a total of \$1.05 million per year for the Australian Antarctic Science Grant Program. All grant requests are considered to be GST exclusive. No supplementation can be provided once a grant is approved.

Grant applications for a minimum of \$10,000 will be considered.

The maximum grant funding amount for research project grants is \$150,000 and the maximum grant funding period is to four years. Note that a Chief Investigator 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.

The maximum grant funding amount for co-funded postdoctoral fellowship grants is \$50,000 per year for a maximum of three years for salary (pro-rata amounts will apply to part-time applicants). An additional \$5000 per year may be requested for operating costs to undertake the project. The total amount requested for a co-funded postdoctoral fellowship salary must be matched by the host university and distributed evenly over the life of the project.

The university providing the co-funding must be an eligible institution ([Appendix A](#)), and the proposed fellow must be employed by the host institution or another eligible institution. Co-funding cannot be provided from another Australian Government grant. 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 grant period for the R.J.L. Hawke postdoctoral fellowship in Antarctic Environmental Science is two years with a total value up to \$200,000 including salary up to \$90,000 each year (pro-rata amounts will apply to part-time applicants) and up to \$10,000 each year for operating costs to support the research.

The fellowship will be held by a Chief Investigator at the host institution, who will supervise the postdoctoral 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.

All 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 CGRGs and the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), applicants are required to demonstrate that the project will contribute to one of the key principles of the CGRGs, that being 'achieving value with relevant money'.

### 3. Application eligibility criteria

We cannot consider your application if it does not satisfy all the eligibility criteria.

#### 3.1 Who is eligible to apply for a grant?

The applicant, or Chief Investigator (CI), must be from an eligible Australian organisation (listed in Appendix A). Only applicants from eligible institutions can access the grant questions in the application form.

CIs 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's Chief Scientist before seeking an AAS grant. 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.

Australian researchers planning to work in Antarctica, but outside the Australian Antarctic Territory, 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 program 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 Australian Antarctic Science grant funding.

## 3.2 What qualifications or skills are required?

CI's are expected to possess relevant research experience of a high order; this will be assessed under [selection criterion 5](#). The experience of CI's identifying themselves as early career scientists will be taken into consideration during the application assessment process.

Curriculum vitae are required for all investigators named on the project application and all personnel participating in Antarctic field work (this will be required when requesting a berth or flight).

The CI 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. The CI must provide details of all personnel contributing to the project, and ensure that nominated field personnel are appropriately qualified (including demonstrated laboratory skills if applicable).

Postgraduate students and volunteers will not be accepted for participation in Antarctic field programs unless they are accompanied by a suitably qualified supervisor. Details of supervisory arrangements will be required prior to the AAD agreeing to that person participating in a field program (additional detail regarding volunteers is provided on the [AAD website](#)).

## 4. Eligible grant items

### 4.1 What can the grant money be used for?

Eligible items and length of grant funding are different for the three categories of grants. See [section 4.2](#) for ineligible items.

**Research project grant applicants** can use the grant to pay for:

#### i) Personnel

##### *General*

Applicants may request AAS grant funding to pay all or part of the salary of co-investigators, research assistants and other personnel involved in their research project.

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 Chief Investigator'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 and must be identified in the application.

Salaries should be adjusted for inflation.

##### *Top-up PhD scholarship*

One top-up PhD scholarship per application may be requested for a student who holds or expects to hold a Research Training Program (RTP) 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 RTP or equivalent scholarship the top-up will not be paid. Evidence of the student holding an RTP scholarship 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 Chief Investigator'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.

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 Australian Antarctic Program, including domestic airfares (flexible economy only), accommodation, other expenses such as hire cars and per diems, medicals, insurance, training required by the Australian Antarctic Division (but not provided by the Australian Antarctic Division), and freight of equipment and samples.

International participants in the program are expected to cover their own costs, including travel to Australia, accommodation prior to departure and the cost of medical examinations, and these costs will be deemed ineligible for grant funding if requested.

### *Domestic travel*

Australian Antarctic Science grant funds may be sought for airfares and other expenses (for example, taxi fares) associated with attendance at AAP-required 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*

The only international travel expenses eligible for grant funding are those required by Australian researchers working in Antarctica, but outside the Australian Antarctic Territory, and AAD approval must be sought prior to application submission by contacting [planning@aad.gov.au](mailto:planning@aad.gov.au).

### *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 Australian Antarctic Division will only pay for short-term accommodation in special circumstances (see Section 12: *Conditions of participation in the Australian Antarctic Science Program*).

#### *Freight of equipment and samples*

Expenses associated with freighting equipment and samples between an applicant's institution and the Australian Antarctic Division in Hobart are the responsibility of the Chief Investigator. An Australian Antarctic Science grant may be requested to meet these expenses, as well as the cost of freighting equipment and samples to or from international destinations.

#### *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 claimed if personnel are in areas outside major centres.

#### *Insurance*

Field personnel not covered by a compensation award must obtain personal insurance cover. Australian Antarctic Science 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 (including maintenance costs if required), 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 Chief Investigator'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.

**Co-funded postdoctoral fellowship applicants** can use the grant to pay for:

#### *Salary*

Funding can be requested for salary up to \$50,000 per year for a maximum of three years (pro-rata amounts will apply to part-time applicants). An additional \$5000 may be requested per year to contribute to operating costs from any eligible items listed in the Research Project Grant category. All grant funding requested for a co-funded postdoctoral fellowship salary requires matching funding from the host institution which must be reported in any financial statements submitted to the Australian Antarctic Division.

The university providing the co-funding must be an eligible institution, and the proposed fellow must be employed by the host institution or another eligible institution. Co-funding cannot be provided from another Australian Government grant.

**RJL Hawke postdoctoral fellowship applicants** can use the grant to pay for:

### *Salary*

Funding for the two-year grant has a maximum total value of \$200,000. This includes salary up to \$90,000 each year (pro-rata amounts will apply to part-time applicants) and operating costs up to \$10,000 each year from any eligible items listed in the Research Project Grant category.

The fellowship will be held by a Chief Investigator at the host institution, who will supervise the postdoctoral fellow. The Chief Investigator's institution must provide the RJL 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 the recipient 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 AAD ([planning@aad.gov.au](mailto:planning@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 Australian Antarctic Science Program section of this document.

Researchers travelling with other countries' Antarctic programs, or on non-AAD operated vessels, should contact [planning@aad.gov.au](mailto:planning@aad.gov.au) to discuss eligibility of grant request items.

You can only spend grant funds on eligible grant activities as defined in the grant details in your grant agreement.

## 4.2 What items cannot be requested for grant funding?

The value of ineligible items submitted in the application will be deducted from any amount approved. The AAD reserves the right to determine whether or not a requested item is eligible for grant funding. Applicants with questions on eligibility of items should contact [planning@aad.gov.au](mailto:planning@aad.gov.au).

**Grant applicants** cannot use grant funding for the following activities:

- Chief Investigator salaries
- Salary or other expenses (such as travel and medicals) for personnel in receipt of a salary from government departments or agencies
- Antarctic, field, marine or other per diem allowances
- Salary increases for co-investigators through promotion
- More than one top-up PhD scholarship per application
- Salary on-costs over 20 per cent
- Funding for basic facilities provided by the researcher's own organisation
- Payment of university administration, laboratory fees, or overheads
- Hire of computer time on a computer within the applicant's own organisation
- Travel to and from Australia, accommodation prior to departure and the cost of medical examinations for international participants in the program
- International travel, including conferences (see *section 4.1* for exception to this rule)

- Above economy flexible airfares for domestic travel.

In addition, **co-funded postdoctoral fellowship** salary funding from the host institution cannot be provided from another Australian Government grant.

We cannot provide a grant if you receive funding from another government source for the same purpose. Information on external funding for the project must be provided in the application.

## 5. Application assessment process

All applicants will go through this process; grant applicants will have access to additional fields in the online application relating to specific requests for grant items.

All applications will be assessed against the criteria identified in [section 6](#).

There are five steps in the AAS application assessment process:

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

Where the program 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: Application eligibility check

First we will assess your application against the eligibility criteria. Only eligible applications will move to the next stage. 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 time and date.
- The CI is a researcher based at any Australian or international University, research institution, or is employed by an Australian state or Australian Government authority.
- The CI (when requesting an AAS grant) is from an eligible organisation ([Appendix A](#)) and meets the requirements listed at 'Who is eligible to apply for an AAS Grant?'
- The RJL Hawke fellowship candidate named in the application is (or intends to be if fellowship is awarded) an Australian resident who has been awarded a PhD in a relevant discipline from an Australian or international university, no more than five years ago (unless they have received a determination of 'equivalent status' from the AAD through [planning@aad.gov.au](mailto:planning@aad.gov.au)).
- 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 the AAD ([planning@aad.gov.au](mailto:planning@aad.gov.au)) by the due date.
- All required questions have been answered (the online system will alert you to any unanswered questions before allowing you to submit the application).

## Step 2: Independent peer review

All eligible applications will be peer reviewed. Suitable independent external reviewers in Australia and internationally will be sourced by the AAD's Science Planning and Coordination (SP&C) section 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 (for details on criteria see [section 6](#)).

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. Note that applicants can advise the AAD of any person who should not be asked to review the application.

## 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 the AAD (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 at the meeting 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: Research, monitoring and co-funded postdoctoral 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 merit assessment criteria are described in full in [section 6](#).

- 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.

*Assessment criteria: RJL Hawke postdoctoral 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. 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 B](#).



## 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](mailto:planning@aad.gov.au).

All applicants will be informed by email whether or not their project and/or grant application 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 Government's [GrantConnect](#) website once grant agreements have been executed by the Department.

## 6. The assessment criteria

All Australian Antarctic Science Program (including Grant Program) applicants will need to address the following assessment criteria in the application. We will judge your application based on the weighting given to each criterion (indicated below). The amount of detail and supporting evidence you provide in your application should be relative to the project size, complexity and grant amount requested.

The application form includes word limits. If your response is longer than the limit imposed only words up to the word limit will be considered.

### 1. Research, Monitoring and co-funded postdoctoral 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 2011–12 to 2020–21* 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 program 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]

Note that 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 the previous 10 years where the Chief Investigator has managed projects. The report will be provided to the expert assessment panel by the AADC.

Where a Chief Investigator is new to the program, 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]

## **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.

## 7. The application process

The same application form and assessment process is used for all applications, including grants.

### 7.1 Overview of application process

You must read the Australian Antarctic Science Program (including Grant Program) guidelines and the application form before you submit an application.

It is recommended that applicants read the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21* and contact the relevant Theme Leader to discuss your project requirements before you submit an application (see Appendix C for roles and [Appendix D](#) for contact details).

You are responsible for ensuring that your application is complete and accurate. Giving false or misleading information will exclude your application from further consideration.

Please complete each section of the application form and make sure you provide the information requested to maximise your scoring against the assessment criteria at [section 6](#).

You will be advised by email that your application has lodged successfully through the AAO.

### 7.2 Application process timing

Submit your application(s) through the AAD's online application system ([Antarctic Applications Online](#)) by the closing date below. Late applications will not be accepted.

The expected commencement date for activities is within the 2018–19 or 2019–20 seasons with the expected completion date in accordance with the approved timeline for the project.

If you are allocated a grant you must spend the grant by the end date identified in your grant agreement or return unspent funds to the AAD.

**Table 1: Expected timing for this grant opportunity**

Activity	Timeframe/duration
Application period	Open: Wednesday, 22 August 2018 Close: AEST 5pm Tuesday, 9 October 2018
Eligibility check	4 – 6 weeks
Certification processing	3 – 4 weeks
Application assessment and rejoinder processing	3 months
Initial Logistic request assessment	2 – 3 weeks
Australian Antarctic Data Centre assessment	2 – 3 weeks
Assessment Panel Meetings	3 – 5 days
Approval of outcomes of selection process (including detailed logistics assessment and allocation)	2 – 3 months
Advice to applicants	2 – 3 weeks
Grant funding allocation	1 – 2 months
Activity commences	2018-19/2019-20

## 7.3 Completing the application

You must submit your application through the [Antarctic Applications Online](#) application form.

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.

The application form includes help information. If you have any technical difficulties, please contact Science Planning and Coordination ([planning@aad.gov.au](mailto:planning@aad.gov.au)).

The Australian Antarctic Division (AAD) will not provide application forms or accept applications for this grant opportunity by fax or mail.

You must make sure that your application is complete and accurate and submitted in accordance with these Guidelines.

You cannot change your application after the closing date and time, however if you find a mistake in your application after it has been submitted, you should contact Science Planning and Coordination ([planning@aad.gov.au](mailto:planning@aad.gov.au)) straight away. They may ask you for more information, as long as it does not change the substance of your application. The AAD does not have to accept any additional information, nor requests from applicants to correct applications after the closing time.

### What to include

Firstly, you need to [create a project in AAO](#). 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, postdoctoral fellow applicants and anyone identified to go to Antarctica.
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 programs 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.  
  
Applicants are also 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.  
  
Grant applicants 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.  
  
Grant 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.
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 is provided here 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**  
  
CVs  
Attach CVs for all investigators listed and any nominated field personnel.  
  
Other  
Applicants must ensure that essential information for assessment is in the application form



and not in attachments. However, you can include attachments that will assist reviewers and the expert assessment panel assess your proposal (for example, maps or diagrams). Applicants with projects that are part of a larger project or program should include a diagram representing the relationship.

19. Feedback

An opportunity to provide feedback on the application process is provided.

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.

The signed certification must be submitted to [planning@aad.gov.au](mailto:planning@aad.gov.au) by 5 pm AEST Tuesday 30 October 2018.

## **7.4 Questions during the application process**

If you have any questions during the application period, please contact Science Planning and Coordination, Theme Leaders, Chief Scientist, Grant Officer and/or the Animal Ethics Committee Officer (all contact details and governance roles can be found at Appendices C and D). The relevant representative will respond to emailed questions within three working days.

Answers to questions may be posted on [GrantConnect](#) and/or the [AAD website](#).

## **7.5 When do projects commence?**

All applicants, including grant applicants, will be notified by email of the outcome of the assessment in early–mid 2019, regardless of the requested year of commencement.

### **Projects requesting logistical support**

For approved projects commencing in 2018–19 the commencement date of the project is the date an advice letter is sent by the AAD. CIs with projects commencing in 2019–20 will be advised in 2019 whether or not the project can be supported. Confirmation of logistical support and ticket allocation will be no earlier than 1 July 2019, once planning for the 2019–20 season is completed.

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 (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](mailto:planning@aad.gov.au).

All projects requiring logistical support require additional approvals before personnel are cleared to travel to Antarctica. 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.

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 programs 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 program. More detail regarding volunteers is provided on the [AAD website](#).

### **Projects requesting grant support**

A letter of offer, including a draft grant agreement, will be sent to the institution of successful grant applicants following approval by Department delegates (Appendix C) of the total amount and distribution of funding over the life of the project. The commencement date for grants is the date the Australian Government delegate countersigns the grant agreement already signed by the representative of the CI's institution.

### **Please also note there are legislative, safety, ethics and environmental requirements.**

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

CIs 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.

Compliance with Commonwealth Work Health and Safety requirements (*Work Health and Safety Act 2011*) is fundamental to participation in the AAP.

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 Program 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.

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](mailto:aec@aad.gov.au). Please note that the AAPAEC does not look favourably on substantial changes made to animal research proposals after ethics application submission. 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.

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

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).

## 8. Assessment of applications, including grant applications

### 8.1 Who will assess applications?

Your application will be assessed on its merits by an expert assessment panel in accordance with the process outlined at section 5: Application assessment process.

The assessment panel will be chaired by the AAD Chief Scientist and made up of Theme Leaders, relevant end-users and expert assessors from within, and externally to, government.

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. External advisors may also be asked to inform the assessment process. Any advisor who is not an Australian Public Servant will be treated as the Commonwealth entity's staff in accordance with Part 1, section 2.8 of the CGRGs.

#### *Strategic and Scientific Assessment – all applications*

One subgroup of the expert assessment panel will assess the *strategic relevance*, or fit, of proposals (Criterion 1) and outreach (Criterion 8). Theme 4 Frontier Science projects will only have outreach (Criterion 8) assessed by this subgroup.

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

#### *RJL Hawke postdoctoral Fellowship Assessment*

Expert assessment panel members will score the fellow 50 per cent on research project assessment (as per the Theme 1–3 assessment) and 50 per cent on track record of the Fellowship candidate. A threshold score of 80 out of 100 is required for the assessment panel 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.

If the selection process identifies unintentional errors in your application, you may be contacted to correct or explain the information.

### 8.2 Who will approve applications, including grants?

The expert assessment panel appointed by the AAD will make recommendations to the AAD Director, who will make the final decision to approve an application into the program. The Director will also make a recommendation to the delegate for approval of grant funding.

The decision is final in all matters, including:

- the approval of the application and/or grant
- the grant funding amount to be awarded

- the terms and conditions of the grant.

Funding will not be approved if it is reasonably considered the program funding available across financial years will not accommodate the funding offer, and/or the application does not represent value for money.

There is no appeal mechanism for decisions to approve or not approve an application, including grants.

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  
Department of the Environment and Energy  
203 Channel Highway  
Kingston TAS 7050

## 9. Notification of application outcomes

All applicants will be informed by email whether or not their application and/or grant has been approved. If you are successful, you will also be advised about any specific conditions attached to your grant (if applicable).

You can submit a new application for the same project (or a similar project) in any future grant opportunity rounds. You should include new or more information to address any weaknesses that may have prevented your previous application from being successful.

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 Government's [GrantConnect website](#) once grant agreements have been executed by the Department representative.

### 9.1 Feedback on your application

All proposals will receive written feedback on the assessment of their application by the expert panel as part of the notification email.

Feedback on the application process 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](mailto: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 program over time and may inform changes to the program as a whole. Opportunities to participate in review processes are periodically advertised on the AAD website.

For feedback contact Manager, Science Planning and Coordination ([planning@aad.gov.au](mailto:planning@aad.gov.au)).

## 10. Successful grant applications

### 10.1 The grant agreement

If you are a successful grant recipient, you must enter into a legally binding grant agreement with the Commonwealth represented by Department of the Environment and Energy. Standard terms and conditions for the grant agreement will apply and cannot be changed. Schedules will be used to outline specific grant requirements. Any additional conditions attached to the grant will be identified in the grant offer or during the grant agreement negotiations.

You will be required to:

- comply with all conditions outlined in the Grant Agreement.
- Special conditions may vary between proposals and where these apply will be outlined in the agreement schedule.

The Department will negotiate agreements with successful applicants by the timeframe specified in the letter of offer provided to successful applicants.

You should not make financial commitments until a grant agreement has been executed by the Commonwealth.

### 10.2 How the grant will be paid

The grant agreement will state the:

- maximum grant amount to be paid
- period of grant funding and
- reporting requirements.

Grant funding will be paid:

- on achievement of milestones outlined in the Milestone Schedule of the Grant Agreement (see section 13.1)
- to applicants with one-year grants on submission of a correct tax invoice on grant agreement execution
- on a GST-exclusive basis.

The amount of each payment will be based on:

- eligible expenditure incurred that is directly related to the project
- approved items as specified in the grant agreement.

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

### 10.3 Grant agreement variations

We recognise that unexpected events may affect the progress of a project. In these circumstances, you can request a project variation, including:

- changing approved grant items

- extending the timeframe for completing the project but within the maximum time period allowed in the program guidelines for completion. This will change some project milestones.

The program does not allow for:

- an increase to the agreed amount of grant funds.

If you want to propose changes to the grant agreement, you must put them in writing before the grant agreement end date. Contact [planning@aad.gov.au](mailto:planning@aad.gov.au) for further information. We will not consider changes after the grant agreement end date.

You should not assume that a variation request will be successful. We will consider your request based on factors such as:

- how it affects the project outcome
- consistency with the program policy objective and any relevant policies of the department
- changes to the timing of grant payments
- availability of program funds.

## 11. Announcement of grants

Details of all grants approved are listed on the Australian Government's [GrantConnect](#) website, once grant agreements are executed by the Department, as required by Section 5.3 of the CGRGs.

## 12. Conditions of participation in the Australian Antarctic Science Program

### All projects

CIs of all approved projects, including all grants, will be required to sign an [agreement letter](#) before participating in the AASP. The agreement letter includes information on the following requirements:

- working in the field
- data management
- publications.

### 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 program. 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 research 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 programs 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 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.

### **Data management**

#### *Data management plans*

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.

### **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](mailto:publications@aad.gov.au).

## 13. Delivery of project activities

### 13.1 Your responsibilities

All successful project chief investigators, including grant recipients, must submit reports in line with the following timeframes.

#### **Annual (milestone) reports**

Successful applicants are required to provide an annual report on project progress 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 program, 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 reports**

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.

As a grant recipient, you will also be responsible for:

- meeting the terms and conditions of the grant agreement and managing the activity efficiently and effectively
- complying with eligible expenditure of grant funds
- complying with record keeping, reporting and acquittal requirements as set out in the grant agreement
- participating in a grant program evaluation as specified in the grant agreement

## 13.2 The Australian Antarctic Division's responsibilities

The Australian Antarctic Division (AAD) administers the Australian Antarctic Science Program on behalf of the Department.

In relation to grant funding, the AAD will:

- meet the terms and conditions set out in the grant agreement;
- provide timely administration of the grant;
- evaluate the grantee's performance.

The AAD will monitor the progress of your project by assessing reports you submit. Occasionally we may need to re-examine claims, seek further information or request an independent audit of claims and payments.

Main governance roles of the AAD are listed in Appendix C.

## 13.3 Grant payments and GST

Payments will be made as set out in the grant agreement. AAS grants are not subject to GST.

## 13.4 Evaluation

The AAD evaluates the success of the Antarctic program in meeting Australia's scientific objectives. Theme Leaders and the Chief Scientist formally monitor project and grant progress to measure how well the outcomes and objectives have been achieved, 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 program is targeting high priority research area.

Your project and/or grant agreement requires you to provide information to help with this evaluation.

## 13.5 Acknowledgement

All publications, presentations, social media posts 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 and may include the AAP logo. Successful CIs will be asked to comply with the AAD's [Media and Communications Attribution policy](#). Whenever the logo is used the publication must also acknowledge the Commonwealth as follows: 'Australian Antarctic Program – an Australian Government initiative'.

All publications related to grants under the Program must acknowledge the Commonwealth in line with the requirements of the grant agreement.

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.

## 14. Probity

The Australian Government will make sure that the program process is fair, according to the published guidelines, incorporates appropriate safeguards against fraud, unlawful activities and other inappropriate conduct and is consistent with the CGRGs.

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.

### 14.1 Complaints process

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.

The Department's Complaints Management Policy outlined in our [Service Charter 2014–16](#) applies to complaints about the Program. All complaints about a grant process must be lodged in writing.

Any questions you have about grant decisions for the Program should be sent to Manager - Science Planning and Coordination ([planning@aad.gov.au](mailto:planning@aad.gov.au)).

If you do not agree with the way the Department has handled your complaint, you may complain to the Commonwealth Ombudsman. The Ombudsman will not usually look into a complaint unless the matter has first been raised directly with the Department.

The Commonwealth Ombudsman can be contacted on:

Phone (Toll free): 1300 362 072

Email: [ombudsman@ombudsman.gov.au](mailto:ombudsman@ombudsman.gov.au)

Website: [www.ombudsman.gov.au](http://www.ombudsman.gov.au)

## 14.2 Conflict of interest

Any conflicts of interest could affect the assessment of the grant.

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 program.

The chair of the assessment panel will be made aware of any conflicts of interest and will handle them as set out in Australian Government policies and procedures. Conflicts of interest for Australian Government staff will be handled as set out in the Australian Public Service Code of Conduct (Section 13(7)) of the *Public Service Act 1999*. We publish our [conflict of interest policy](#) available on the Department of the Environment and Energy website. If any conflict of interest applies, the panel member and/or Departmental staff member will not assess the relevant application.

## 14.3 Privacy: confidentiality and protection of personal information

We treat your personal information according to the 13 Australian Privacy Principles and the *Privacy Act 1988*. This includes letting you know:

- what personal information we collect
- why we collect your personal information
- who we give your personal information to.

You are required, as part of your application, to declare your ability to comply with the *Privacy Act 1988*, including the Australian Privacy Principles and impose the same privacy obligations on any subcontractors you engage to assist with the activity. You must ask for the Australian Government's consent in writing before disclosing confidential information.

Your personal information can only be disclosed to someone else if you are given reasonable notice of the disclosure; where disclosure is authorised or required by law or is reasonably necessary for the enforcement of the criminal law; if it will prevent or lessen a serious and imminent threat to a person's life or health; or if you have consented to the disclosure.

The Australian Government may also use and disclose information about grant applicants and grant recipients under the Program in any other Australian Government business or function. This includes giving information to the Australian Taxation Office for compliance purposes.

We may reveal confidential information to:

- other Commonwealth employees and contractors to help us manage the program effectively
- employees and contractors of our department so we can research, assess, monitor and analyse our programs and activities
- employees and contractors of other Commonwealth agencies for any purposes, including government administration, research or service delivery
- other Commonwealth, State, Territory or local government agencies in program reports and consultations
- the Auditor-General, Ombudsman or Privacy Commissioner
- the responsible Minister or Parliamentary Secretary
- a House or a Committee of the Australian Parliament.

In addition to the above, the AAD collects information to assess applications for funding and program 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 program as a whole.

The name of successful applicants, project public summaries, and any 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's 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.

For further information, see the [AAD website privacy statement](#). 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 Science Planning and Coordination at the AAD ([planning@aad.gov.au](mailto:planning@aad.gov.au)).

We may share the information you give us with other Commonwealth agencies for any purposes including government administration, research or service delivery and according to Australian laws, including the:

- *Public Service Act 1999*
- *Public Service Regulations 1999*
- *Public Governance, Performance and Accountability Act 2013*

- *Privacy Act 1988*
- *Crimes Act 1914*
- *Criminal Code Act 1995*

The grant agreement will include any specific requirements about special categories of information collected, created or held under the grant agreement.

## 14.4 Freedom of information

All documents in the possession of the Australian Government, including those about the Program, are subject to the *Freedom of Information Act 1982 (FOI Act)*.

The purpose of the FOI Act is to give members of the public rights of access to information held by the Australian Government and its entities. Under the FOI Act, members of the public can seek access to documents held by the Australian Government. This right of access is limited only by the exceptions and exemptions necessary to protect essential public interests and private and business affairs of persons in respect of whom the information relates.

All Freedom of Information requests must be referred to the Freedom of Information Coordinator in writing.

By mail: Freedom of Information Coordinator  
 Legal Section, Department of the Environment and Energy  
 GPO Box 787  
 CANBERRA ACT 2601

By email: [foi@environment.gov.au](mailto:foi@environment.gov.au)

## 15. Consultation

Research institutions, researchers, science end-users and the general public were consulted in the development of the *Australian Antarctic Science Strategic Plan 2011–12 to 2020–21*. The Implementation Plans outlining priority research for the subsequent application rounds, including the 2018-19 application round, were also subject to public consultation before finalisation.

## 16. Glossary

assessment criteria	The specified principles or standards against which applications will be judged. These criteria are also used to assess the merits of proposals and, in the case of a competitive granting activity, to determine applicant rankings.
commencement date	The expected start date for the project.
completion date	The expected date that the project must be completed and any grant spent by.
date of effect	This will depend on the project. It can be the date in which a grant agreement is signed or a specified starting date.

decision maker	The person who makes a decision to approve a project and/or award a grant.
eligibility criteria	The principles, standards or rules that a grant applicant and the application must meet to qualify for assessment. Eligibility criteria may apply in addition to assessment criteria.
Commonwealth entity	A Department of State, or a Parliamentary Department, or a listed entity or a body corporate established by a law of the Commonwealth. See subsections 10(1) and (2) of the PGPA Act.
grant	<p>a grant is an arrangement for the provision of financial assistance by the Commonwealth or on behalf of the Commonwealth:</p> <ul style="list-style-type: none"> <li>a) under which relevant money or other CRF money, is to be paid to a recipient other than the Commonwealth; and</li> <li>b) which is intended to assist the recipient achieve its goals; and</li> <li>c) which is intended to help address one or more of the Australian Government's policy objectives; and</li> </ul> <p>under which the recipient may be required to act in accordance with specified terms or conditions.</p>
grant activity	Is the project that the Grantee is required to undertake with the grant money. It is described in the Grant Agreement.
grant agreement	Grant agreement means the contract template used by Australian Government entities to set out the mutual obligations relating to the provision of the grant. The Australian Government is standardising and streamlining grant agreements between the Commonwealth and grant recipients to allow grant recipients to engage more easily and efficiently with the Commonwealth.
grant opportunity	A notice published on <a href="#">GrantConnect</a> advertising the availability of Commonwealth grants.
grant program	May be advertised within the 'Forecast Opportunity' (FO) section of <a href="#">GrantConnect</a> to provide a consolidated view of associated grant opportunities and provide strategic context for specific grant opportunities
grantee	An individual/organisation that has been awarded a grant.
selection process	The method used to select potential projects/grantees. This process may involve comparative assessment of applications or the assessment of applications against the eligibility criteria and/or the assessment criteria.

## Appendix A: Organisations eligible to receive AAS grant funding

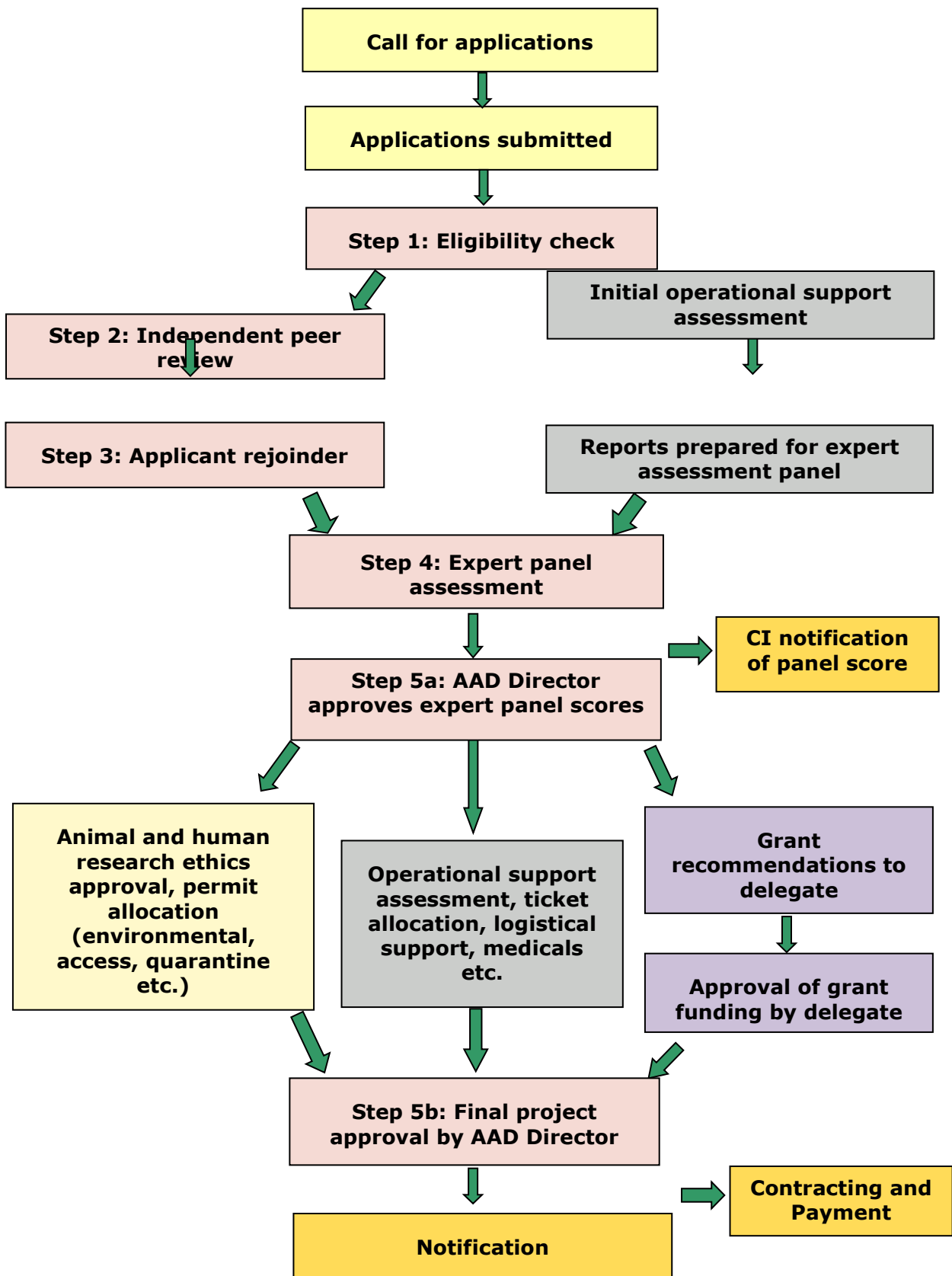
<b>New South Wales</b>	Charles Sturt University Macquarie University Southern Cross University The University of New England The University of New South Wales The University of Newcastle The University of Sydney University of Technology, Sydney University of Western Sydney University of Wollongong
<b>Victoria</b>	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
<b>Queensland</b>	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
<b>Western Australia</b>	Curtin University of Technology Edith Cowan University Murdoch University The University of Notre Dame Australia The University of Western Australia
<b>South Australia</b>	The Flinders University of South Australia The University of Adelaide Torrens University Australia University of South Australia
<b>Tasmania</b>	University of Tasmania
<b>Northern Territory</b>	Charles Darwin University Batchelor Institute of Indigenous Tertiary Education
<b>Australian Capital Territory</b>	The Australian National University University of Canberra Australian Institute of Aboriginal and Torres Strait Islander Studies
<b>Multi-State</b>	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: Application process flowchart



# Appendix C: 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 CGRGs) 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 Program:

- Oversees the Australian Antarctic Science Program, and has specific duties in relation to the contribution of the AAD Science Branch to that program, and the relevance of the program to international Antarctic research programs.
- Is the primary contact for the Frontier Science Theme.
- Is responsible for the development of a coordinated program of research across the AASP, and provides advice to the Director, AAD, on scientific program 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 program 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 program'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 programs, 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 Program.
- 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 program and grant manager. This position has day-to-day responsibility for the AAS grant program, including signing grant agreements on behalf of the Department of the Environment and Energy, approving payments, and approving requests for changes in the way grant funding is spent.

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

The **Australian Antarctic Program Animal Ethics Committee Secretary (SP&C)** is the AAPAEC administrator. This position is responsible for all administrative aspects of the AAPAEC and is the first point of contact for all animal ethics enquiries.

# Appendix D: Australian Antarctic Division contacts

## **Chief Scientist**

Phone: +61 3 6232 3205

Email: [chiefscientist@aad.gov.au](mailto:chiefscientist@aad.gov.au)

## **Theme Leaders:**

### **Climate Processes and Change**

Phone: +61 3 6232 3185

Email: [CPCThemeLeader@aad.gov.au](mailto:CPCThemeLeader@aad.gov.au)

### **Terrestrial and Nearshore Ecosystems: Environmental Change and Conservation**

Phone: +61 3 6232 3608

Email: [TNEThemeLeader@aad.gov.au](mailto:TNEThemeLeader@aad.gov.au)

### **Southern Ocean Ecosystems: Environmental Change and Conservation**

Phone: +61 3 6232 3608

Email: [SOEThemeLeader@aad.gov.au](mailto:SOEThemeLeader@aad.gov.au)

### **Frontier Science**

Phone: +61 3 6232 3205

Email: [FrontierScienceThemeLeader@aad.gov.au](mailto:FrontierScienceThemeLeader@aad.gov.au)

## **Science Planning and Coordination**

Phone: +61 3 6232 3600

Email: [planning@aad.gov.au](mailto:planning@aad.gov.au)

## **Grants Officer**

Phone: +61 3 6232 3600

Email: [grants@aad.gov.au](mailto:grants@aad.gov.au)

## **Australian Antarctic Program Animal Ethics Committee Secretary**

Phone: +61 3 6232 3600

Email: [aec@aad.gov.au](mailto:aec@aad.gov.au)

## **Australian Antarctic Division**

203 Channel Highway

Kingston TAS 7050 Tasmania Australia

Phone: +61 3 6232 3209

# Appendix E: 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 and Energy.

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 (DPIPWE). The [application form and guidelines](#) are available from the DPIPWE website.