



**DEPARTMENT OF EDUCATION,  
TRAINING AND YOUTH AFFAIRS**

## **Indigenous Researchers Development Scheme**

### **Guidelines for Year 2001 Grants**



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## **Acronyms**

<b>ARC</b>	Australian Research Council
<b>DETYA</b>	Department of Education, Training and Youth Affairs
<b>HEFA</b>	Higher Education Funding Act 1988
<b>NHMRC</b>	National Health and Medical Research Council
<b>RGFC</b>	The Research Grants Committee and the Research Training and Careers Committee operating jointly and referred to as the Research Grants and Fellowships Committee

## 1. Introduction

The Higher Education Targeted Research Programme provides funding to teams or individuals for worthy and high quality research through several application-based and formula-driven grant schemes. These schemes aim to maintain and strengthen Australia's knowledge base and research capabilities by developing an effective research and research training system, focused on the higher education sector.

## 2. Objective

The key objective of the Indigenous Researchers Development Scheme is to develop the research expertise of Indigenous Australian researchers to a level at which they can compete in open competition for mainstream research funding.

## 3. Description

### 3.1 Type of research supported

The Indigenous Researchers Development Scheme provides:

- support for research projects by Indigenous Australian researchers in the biological, mathematical, physical, chemical, engineering, earth and applied sciences, and the humanities and social sciences, which are likely to lead to a significant conceptual advance in the understanding of a subject or to contribute to the solution of an important practical problem;
- experience in the preparation of research grant applications; and
- training and/or development in research methodology during the course of the research projects.

### 3.2 Areas of investigation/work not supported

The Indigenous Researchers Development Scheme does not support researchers to undertake:

- **research more appropriately funded** under other Commonwealth Schemes (eg. those administered by the National Health and Medical Research Council (NHMRC) and the Rural Research & Development Corporation);
- **scholarly investigations** which, while important in themselves, do not lead to conceptual advances or discoveries, or to novel practical outcomes or applications. Such projects as uncritical bibliographical compilations and purely descriptive catalogues or editions, which do not involve original research, are not funded;
- **activities that lead solely to the creation or performance of a work of art**, including visual art, musical compositions, drama, dance, designs and literary works. Commonwealth Government support for personnel pursuing these activities is provided through the Australia Council for the Arts; and
- **production of teaching/curriculum materials**, even though some research may be involved.

Applicants should also note that assessors in most fields tend not to give a high rating to data compilation or the development of research aids and tools (including computer programmes). If databases, computer programmes or other research aids are being compiled as part of a project, a statement must be provided indicating the research objectives to which they would be directed.

### **3.3 Budget items not supported**

The host institution must certify its agreement to provide the following basic facilities which will not be funded under the Indigenous Researchers Development Scheme:

- accommodation (eg. laboratory and office, suitably equipped and furnished in standard ways);
- access to workshop services (eg. machine tools and qualified technicians available to each member of staff, according to need, for research);
- access to a basic library collection;
- adequate computing time (excluding access to high-performance computers);
- standard reference materials or funds for abstracting services;
- basic computing, word processing and microfilm reading facilities;
- transcription services where the project is linked to higher degree studies; and
- use of dictaphones, tapes, lap tops, photocopiers, telephones, mail, fax, email and Internet services.

### **3.4 Funding**

In 2001, the total amount available for distribution under this Scheme is \$210,000. Grants will be for a minimum of \$3,000 per year, for up to three years, for a research project.

## **4. Eligibility**

### **4.1 Applicant eligibility**

Applications are accepted only from Indigenous Australian researchers and all Chief Investigators must meet this criterion. To meet this criterion, a researcher must:

- be of Australian Aboriginal or Torres Strait Islander descent;
- identify as an Australian Aboriginal or Torres Strait Islander; and
- be accepted as such by the community in which s/he lives or has lived.

As this Scheme aims to develop the research expertise of successful applicants, it is strongly recommended that a mentor (who does not need to be an Indigenous Australian) be associated with the proposal to provide specific expert advice on the subject of the research.

Applicants must possess a research degree or demonstrate equivalent research capacity and experience in their applications, to the satisfaction of the Reference Group. Students who are seeking a grant for a research project which forms part of their current research higher degree may also apply.

#### **4.1.1 Indigenous Australians not eligible**

Indigenous Australian researchers are ineligible to apply for a grant if they are:

- living permanently overseas or are employed out of Australia during the term of the grant;

- students undertaking an undergraduate degree or an undergraduate diploma;
- currently holding, or have held, a nationally competitive grant or Fellowship from the Australian Research Council (ARC) or the NHMRC;
- deriving more than 50% of their salary from a non-higher education sector organisation that is primarily funded for research from State or Commonwealth Government sources, eg. Defence Science and Technology Organisation, Commonwealth Scientific and Industrial Research Organisation, Australian Geological Survey Organisation, State Research and Development organisations, and the Institute of Advanced Studies at the Australian National University; or
- a full-time Director of any Commonwealth-funded Centre.

## 5. Application Process

As the application is the prime source of information available to the selection committee, applicants must submit their projects as mature research plans ready for implementation. The application must contain all the information necessary for assessment of the project without the need for further written or oral explanation, or for reference to additional documentation, including the World Wide Web, unless requested by the selection committee. All details in the application, particularly concerning any successful grants, must be current.

### 5.1 Application procedure

Applications consist of three parts:

- application form;
- additional text; and
- curriculum vitae and supporting documentation.

All documents must be written in English and must comply strictly with the format and submission requirements. Each part must be included in the application and submitted, through the institution's Research Office, by the closing date of **30 June 2000**.

#### 5.1.1 Application form

Applicants must use the application form available from the institution's Research Office and the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#ird>

*The following advice may assist you to complete the application form.*

The numbers refer to the relevant sections in the application form.

#### ***Total number of sheets contained in this application***

Enter the number of sheets of paper being submitted. This is used for scanning and image storage purposes.

## **1. Organisation to administer grant**

Enter the name of the institution or incorporated company where the first-named Chief Investigator will be employed during the period of the grant.

### **1.1 Australian Business Number (ABN)**

Enter the ABN for the administering organisation.

## **4. Project summary**

The summary must be presented in clear, plain English using the minimum of terminology unique to the area of study to assist assignment of the application to appropriate assessors. It may also be used by the Commonwealth in press releases and publicity material and for evaluation purposes.

## **6. Budget**

Provide a detailed list of all items in the project for which support is being sought from the Commonwealth in this application, ensuring that the list is contained on one page only. Applicants should submit their applications taking into account the full effect of the GST and other New Tax System changes where:

- 'GST' has the meaning given in section 195-1 of the *A New Tax System (Goods and Services Tax) Act 1999*; and
- 'New Tax System changes' has the meaning given in section 75AT of the *Trade Practices Act 1974*.

Group each category of item according to Personnel/Teaching Relief, Equipment, Maintenance, Travel and Other. Within each group, provide details of the individual funding sought for each item in each of the three years.

Indicate a priority for each item from A to C (eg. A1, A2, B1, etc.) according to the following criteria. The same ranking may be given to several items but the Reference Group will interpret this to mean that it is not possible to provide funding for one of the linked items separately.

- A** essential for the project to be completed in a timely fashion and to remain internationally competitive;
- B** necessary to maintain a reasonable rate of progress in bringing the project to completion; and
- C** other items which would be useful in supporting the project.

## **7. Classifications and other statistical information**

- 7.1** Select up to six keywords to describe the proposed research. You should select the key words carefully, as they are considered when discipline panels are selecting assessors for the application. They should be of the kind normally required for submitting an article to a major refereed journal.
- 7.2** Enter at least one code under each of the Research Fields, Courses and Disciplines (RFCD) and Socio-Economic Objective (SEO) classifications.

The **RFCD** classification defines the research according to discipline areas. There is provision for up to three codes on the application form. The relative importance of each code should be indicated by

using a percentage (rounded to the nearest multiple of 10) which must total 100%. If the application is multi-disciplinary, codes from more than one discipline will need to be identified.

The **SEO** classification indicates the sectors which are most likely to benefit from the research. There is provision for up to three codes on the application form. The relative importance of each code should be indicated by using a percentage (rounded to the nearest multiple of 10) which must total 100%.

RFCD and SEO classifications are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap2.htm#class>

## **9. Participant details**

Details of the applicant(s) are gathered for the purposes of communicating with him/her, determining eligibility, and conducting data and statistical analysis in relation to equity and other issues. Please notify the host institution of any changes to applicant details after the submission date.

**9.1** To simplify data entry, applicants have the option of providing their unique GAMS Id and abbreviated details instead of their full address and other personal details. (GAMS is the secure Grant Application Management System used by DETYA in the selection process.) If applicants provide their GAMS Id and abbreviated details, the application will be linked to their personal details record on GAMS which contains their full address, expertise and other personal information. Obviously not all applicants will have a GAMS Id. Those who do not will need to provide their full details. The success of an application will in no way be linked to the details provided and applicants will be neither advantaged nor disadvantaged by using either their GAMS Id or their full details. Applicants can obtain their GAMS Id from their institution's Research Office.

**9.2** This section must be completed by **all applicants who have not provided a GAMS Id in Section 9.1 above.**

**9.3** This section must be completed by **all applicants.**

## **11. Certifications**

By signing this document, the signatories are certifying that:

- all the details on the application form are correct;
- the applicant has complied with the Indigenous Researchers Development Scheme Guidelines for Year 2001 Grants and, if successful, will accept the associated Conditions of Grant;
- s/he understands and agrees that all statutory and other requirements, as detailed in the Conditions of Grant, must be met before the proposed research can commence; and
- in submitting this application, s/he gives consent to its referral to assessors, other ARC/DETYA Schemes and/or other funding agencies for consideration.

### **5.1.2 Additional text**

Applicants should note that applications are considered by a committee of which membership may include people who are not specialists in the field of the application. Consequently, the project and its expected outcomes should be described in a way that can be appreciated by all committee members (both specialist and non-specialist). This additional text should, in **no more than ten pages** and within the required format, address the selection criteria at section 6.1 and include the following information.

#### **1. Aims, expected outcomes and significance**

Detail the research aims, expected outcomes and significance of research. Include information about recent progress in the field of the research, and the relationship of the work to the field in general. Where the application forms part of a researcher's higher degree study, include details of how the project relates to the higher degree study and the year(s) of study you will be undertaking for the period of the project (eg. 2<sup>nd</sup> and 3<sup>rd</sup>).

#### **2. Research plan, methods and techniques**

Detail the specific strategy and method of investigation including the questions being posed, the hypothesis being tested and the time frame for the start and completion of each stage of the project. Ensure that the plan makes clear the scope and limitations of the project. Where well-known techniques are to be used, the applicant should make it quite clear that s/he has a solid grasp of the methodology.

#### **3. Justification of budget**

Each budget item requested is to be fully justified in terms of need, priority and cost. In making a budget justification it is not enough to say that certain personnel or equipment cost \$xx. Rather, you are required to justify the claim; for example, if a full-time technician with a specific level of expertise is required, that should be stated. The same level of explanation is required for all items being requested.

For equipment requests, discuss how the equipment will be used, and provide details of the manufacturer, supplier, cost and installation based on quotations obtained.

For expensive items of equipment, provide details of contributions from other sources and state whether those contributions are committed or contingent upon other funds being provided. In cases where funding could be reasonably expected to be provided by the administering institution or sources other than ARC/DETYA, explain why there has not been a commitment.

#### **4. Proposed timing**

Provide a timeframe for the start and completion of the various stages of the project.

#### **5. Previous research experience**

Detail previous research experience relevant to the proposed project.

Where applicable, please provide details of the mentor/project supervisor relationship and its role in supervising or providing advice in respect of the proposed research.

Where the cooperation or assistance of another body is needed for the project to be successful, the Reference Group must be provided with appropriate details.

### **5.1.3 Curriculum vitae and supporting documentation**

Please:

- provide abbreviated CVs of the Chief Investigator and the Mentor;
- provide a relevant publication list for the last five years for the Chief Investigator and any Partner Investigator; and
- complete the 'Assessor details' page attached to the application form for up to two assessors to comment on the application relative to the selection criteria, if requested by the Reference Group.

#### **5.1.4 Application format**

All pages should be in black type, size 12 font on white A4 paper, single-sided, and unbound, with at least 1 cm margins on each side.

As applications are scanned electronically, only the following type fonts should be used: Arial, Courier, Palantino, Times New Roman and Helvetica. Variants such as mathematical typesetting languages may also be used.

Colour graphs or colour photographs may be included but they will be reproduced in black and white.

A table of contents, with page referencing, is to be included at the beginning of the additional text. This page will be additional to the ten pages of additional text and must be included in the number of sheets entered on the application form.

The additional text, the curriculum vitae and supporting documentation must be page numbered consecutively, starting from page one of the additional text.

#### **5.1.5 Copies of application**

An **original and EIGHT IDENTICAL copies only** are required. The application must be clipped with NAL clips, not stapled, and submitted in the following order: application form, additional text, and curriculum vitae and supporting documentation.

#### **5.1.6 Application submission**

All applications must:

- be signed by the appropriate persons on the Certifications page of the application form;
- identify the name, address and telephone number of an appropriate contact officer in the institution/research body; and
- be submitted by the institution's closing date, through the Research Office of the administering institution.

**Late additional pages or replacement pages will not be accepted after submission. Applications received after 30 June 2000 will not be considered for funding.**

The Research Office will submit paper copies of the application, with a list of all applications despatched,

by **mail**, to:

Executive Manager  
Research Programme Management Group  
Higher Education Research Branch LC 121  
Department of Education, Training  
and Youth Affairs  
GPO Box 9880  
CANBERRA ACT 2601

by **courier**, to:

Executive Manager  
Research Programme Management Group  
Higher Education Research Branch  
Department of Education, Training  
and Youth Affairs  
Level 2, 14 Mort Street  
CANBERRA ACT 2600

## 5.2 Timetable

<i>Month</i>	<i>Year</i>	<i>Event</i>
December	1999	Guidelines and application forms available from Research Offices and Indigenous Support Units in higher education institutions and relevant incorporated companies
<b>30 June</b>	<b>2000</b>	<b>Closing date for applications with DETYA in Canberra</b> Note: each institution and relevant incorporated company will set its own internal closing date
October	2000	Applications considered by the Reference Group
October	2000	Recommendations submitted to the ARC for endorsement
October	2000	Recommendations submitted to the Minister for approval
November	2000	Announcement of grants; advice to applicants; grant offers to higher education institutions/incorporated companies

## 5.3 Limit on number of applications

Only one application will be accepted from a sole researcher. Up to two applications will be accepted from a researcher if at least one involves another researcher as a collaborating Chief Investigator.

## 5.4 Nomination of assessors

Up to two suitable assessors may be nominated by the applicant to comment on the application relative to the selection criteria, if requested by the Reference Group. Nominated assessors must not be close family members of the applicant or members of the ARC or the Reference Group, or have published with the applicant(s) in the last five years. Applicants may also nominate one person whom they do not wish to assess the application, giving justification which will be considered by the Research Grants and Fellowships Committee (RGFC).

## 5.5 Higher degree study

If the research project forms part of a higher degree, this must be stated, and details of the degree and its commencement date must be included in the application.

## **6. Selection and Approval Process**

### **6.1 Selection criteria**

Primary criteria in considering applications are:

- the quality of the research project being proposed;
- the quality of the researcher(s) proposing the research project; and
- the quality of the research environment and/or mentor.

Other considerations may be:

- the probable impact of a successful outcome for the research project; and/or
- the extent to which the successful completion of the research project will train and equip the researcher to compete for mainstream research funding.

If an application is judged to be outside the scope of the Indigenous Researchers Development Scheme, it may be referred for consideration under other ARC/DETYA grant schemes.

### **6.2 Selection procedure**

Assessment of applications is undertaken by the ARC Reference Group which consists of Indigenous Australians, representatives of key Indigenous Australian organisations, the Chair of the RGFC and one RGFC discipline panel member. As part of the assessment process, the Reference Group may seek reports on the quality of the research proposal and the researcher(s)/research team from appropriately qualified external assessors. The Reference Group prepares funding recommendations which are submitted first to the ARC for endorsement and then to the Minister for approval.

The ARC has procedures for declaring conflicts of interest and for members to withdraw from consideration of particular applications.

### **6.3 Offer of grant**

Following the Minister's approval, the successful administering institution will be informed by DETYA in a letter of offer which will indicate the funding to be provided and include the Conditions of Grant.

### **6.4 Conditions of grant**

Applicants should familiarise themselves with the Conditions of Grant which are available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#ird>

The grantee must accept the Conditions of Grant and the administering institution must sign the Conditions of Grant before grant payments can be made.

#### **6.4.1 Ownership of assets**

The Conditions of Grant specify that the ownership of any asset purchased wholly or partly with the grant shall be vested in the host institution and listed in its assets register.

## 7. Appeals Process

Appeals will be considered only against process issues and not against Reference Group decisions or assessor ratings and comments. Appeals must be made on the appeals form available on the World Wide Web at:

<http://www.detya.gov.au/highered/research/grants/grantap1.htm#ird>

The form must be lodged through the institution's Research Office and be received, **within 28 days** of the date on the letter notifying the outcome of applications, by:

The Appeals Officer  
Higher Education Research Branch LC 121  
Department of Education, Training and Youth Affairs  
GPO Box 9880  
CANBERRA ACT 2601

## 8. Grant Administration

### 8.1 Reporting requirements

Institutions are required to submit to DETYA:

- an **Exceptions Report** on grants that have financial exceptions by 1 November in the calendar year for which they were granted;
- an **End of Year Report** on the expenditure of grant funds by 31 March in the year following the calendar year for which they were granted;
- a **Progress Report** on the project by 31 March in the year following the calendar year for which funds were granted;
- a **Final Report** on the project within six (6) months of its completion; and
- an **Audited Financial Statement** by 30 June of the year following the year of the grant, in accordance with sub-section 23(5) of the *Higher Education Funding Act 1988* (HEFA).

DETYA reserves the right to suspend payment of further instalments of any current grant until the appropriate reports have been received and assessed as satisfactory.

#### 8.1.1 Failure to provide reports

Where an institution fails to submit satisfactory reports, as required, the Minister may, under section 108 of the HEFA, determine that funds have not been used in accordance with conditions applicable to the grant, and that all or part of the grant must be repaid. In this case, DETYA may withhold the remainder of the institution's payments under the Scheme for the current year or initiate recovery of grant monies.

### 8.2 Monitoring and evaluation

Reviews of ARC/DETYA schemes are undertaken periodically, as deemed necessary. Persons nominated by DETYA are to be given full access to all accounts, records, documents and premises relevant to the research being funded by DETYA.

### **8.3 Transfer of grant**

Grant payments are made to the institution at which the grantee is employed. If, during the term of research funding, the grantee transfers to another institution, approval from the Minister's delegate is required before any funds or equipment may be transferred.

### **8.4 Financial management**

#### **8.4.1 Payments**

The Scheme operates on a calendar year basis. Subject to appropriations, payment of funds will be made to institutions or relevant incorporated companies, in regular instalments, in accordance with approved payment arrangements made under section 111 of the HEFA. Funds must only be used for purposes approved under the Scheme otherwise they must be returned.

#### **8.4.2 Carryovers**

As grants are made for the specified calendar year, carryovers beyond 31 December of the year in which the grant was made require approval. Carryover requests must be made in the End of Year Report. Only in exceptional circumstances will funds be carried over for more than twelve months.

#### **8.4.3 Deferments**

It is not possible to defer a grant before it is taken up. If an applicant is awarded a grant and is unable to start work on the project in the first year, the grant will lapse and the funds will be reallocated to another project. Grantees should notify DETYA as soon as it is known that a grant cannot be taken up.

If a grantee wishes to defer continuation of a project during the tenure of a grant, written application should be made to DETYA.

#### **8.4.4 Recoveries**

Any funds which have not been spent, or are not to be carried over, will be recovered by DETYA, following advice provided in the End of Year Report, in accordance with section 108 of the HEFA.

## **9. General Information**

### **9.1 Roles and responsibilities**

Broadly, roles and responsibilities under the Higher Education Targeted Research Programme are as follows.

#### **9.1.1 The Minister**

The Minister for Education, Training and Youth Affairs, under the HEFA, has responsibility for approving:

- the mechanism for allocation of funds awarded for research;
- research funding schemes' objectives, guidelines and associated conditions;

- the expenditure, carryover and recovery of Research Programme funds; and
- variations to grants and the reallocation of unused funds.

### 9.1.2 Australian Research Council

The ARC, under the *Employment, Education and Training Act 1988*, provides advice on research policy, and recommendations on the allocation of funding resources, to the Minister.

### 9.1.3 DETYA staff

Staff of the Higher Education Research Branch, DETYA, on behalf of the Minister's delegates, are responsible for:

- providing advice to the Minister on the allocative mechanisms;
- providing advice to the Minister, the ARC and institutions on the operation of the schemes; and
- administering the range of research funding schemes and mechanisms, including providing secretariat support to the ARC during selection meetings.

### 9.1.4 Higher education institutions and other organisations

Research Offices of higher education institutions and other organisations are the first points of contact for parties interested in grant opportunities and are responsible for:

- maintaining records on the receipt and expenditure of grant funds;
- exercising quality control over grant applications; and
- ensuring compliance with grant conditions.

Deleted:

## 9.2 Privacy of individuals

Documents containing personal information are handled and protected in accordance with the provisions of the *Privacy Act 1988* which sets standards for the collection, storage, use and disclosure of, and access to, personal information. Personal information is disclosed only with permission of the individual to whom it relates or where the Act allows.

## 9.3 Freedom of information

All relevant documents are subject to the *Freedom of Information Act 1982* unless exempt in accordance with the provisions of the Act.

## 9.4 Confidentiality

Information contained in applications is regarded as confidential unless otherwise stated and will be received and treated as confidential by DETYA, the ARC, institutions and assessors.

## **9.5 Intellectual property**

The institution must adhere to an intellectual property policy, approved by the institution's governing body, which has as one of its aims the maximisation of national benefits arising from the research.

Indigenous Australian researchers will need to negotiate appropriate arrangements directly with administering institutions and Indigenous Australian communities where this is appropriate. While evidence that agreement on intellectual property has been reached will not be a precondition for applications to be considered, it is strongly suggested that such matters be settled at the outset.

## **9.6 Incomplete/misleading information**

If an application is incomplete or contains information which is considered misleading, it will be excluded from any further consideration for funding.

If the RGFC or the Reference Group believes that omissions or inclusion of misleading information are intentional, or if there is evidence of malpractice, the matter will be referred to one of DETYA's Investigation and Compliance Units for investigation. The Commonwealth Government is committed to protecting its revenue, expenditure and property from any attempt, either by members of the public, contractors, sub-contractors, agents, intermediaries or its own employees to gain financial or other benefits by deceit.

An example of misleading information which would be considered intentional is where an applicant claims to be an Indigenous Australian but does not meet the criterion at section 4.1 of these guidelines.

Examples of malpractice include, but are not restricted to:

- providing fictitious track records; and
- falsifying claims in publications records (eg. describing a paper as accepted for publication when it has only been submitted).

## **9.7 Insurance and liabilities**

By accepting funds under an ARC/DETYA research scheme, institutions and/or relevant incorporated companies agree to indemnify the Commonwealth from any expense arising from any action that may be made or brought against the Commonwealth resulting from activities funded under the Scheme. Institutions are responsible for taking out appropriate insurance.

## **9.8 Conduct of project**

If any project conducted by the institution includes research on, or involves, humans, the institution must ensure that the codes adopted for this purpose are complied with and that the project does not commence without clearance from the institution's Ethics Committee (or equivalent). Applicants are also encouraged to obtain a letter of support for the project from a recognised and appropriate community organisation.

## 9.9 Contact points

For further information, the institution's Research Office should be contacted in the first instance.

Enquiries about this Scheme may be addressed to:

Scheme Manager  
Indigenous Researchers Development Scheme  
Research Programme Management Group  
Higher Education Research Branch LC 121  
Department of Education, Training and Youth Affairs  
GPO Box 9880  
CANBERRA ACT 2601  
Fax: (02) 6123 6898  
Email: [rblarge@detya.gov.au](mailto:rblarge@detya.gov.au)

**Web site address:** <http://www.detya.gov.au/highered/research/grants/schemes.htm>