



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

**Research Centres Scheme
Special Research Centres**

Guidelines for Year 2000 Grants



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Acronyms

AusAID	Australian Agency for International Development
ARC	Australian Research Council
CRC	Cooperative Research Centre
DETYA	Department of Education, Training and Youth Affairs
GIRD	Grants for Industry Research and Development
HEFA	Higher Education Funding Act
KCTR	Key Centre of Teaching and Research
RGC	Research Grants Committee
SRC	Special Research Centre

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-based 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.

The Commonwealth's Research Centres Scheme comprises two types of Centre: Key Centre of Teaching and Research (KCTR) and Special Research Centre (SRC). Broadly, SRCs are established on the basis of research excellence and potential to contribute to the economic, social and cultural development of Australia.

2. Objectives

The objectives of the SRC are to:

- establish concentrations of research workers and resources in Australian higher education institutions;
- encourage the pursuit of excellence in research, as measured at national and international levels;
- establish Centres that will act as a major linkage to international centres and programmes;
- provide high quality research environments for postgraduate research education and postdoctoral training;
- promote research in areas of national importance which will enhance Australia's future economic, social and cultural wellbeing; and
- establish Centres of such repute in the wider community that they will serve as points of interaction among higher education institutions, the Government, industry and the private sector generally.

3. Description

SRC funding enables concentration of research through the development of special units of staff and resources engaged in research and research training that is of a longer term nature. Selection rounds are generally held every three years.

3.1 Areas of investigation not supported

Research in the fields of clinical medicine and dentistry is not supported as the National Health and Medical Research Council has responsibility for funding research in those areas.

3.2 Funding

Funding will commence in January 2000. The funding levels awarded to each SRC may vary depending on its nature and activities. Nine years is the maximum funding period under the

Scheme. Receipt of funding for the full nine-year period is dependent on successful results from performance reviews conducted during the third and sixth years of operation.

4. Eligibility

4.1 Institution eligibility

A list of eligible higher education institutions is at Appendix 1. The Institute of Advanced Studies at the Australian National University is not eligible to apply for SRC funding because of its special funding arrangements. Applications which can be more appropriately supported by other funding sources will not be considered.

Directors are expected to work on the activities of the SRC on a full-time basis. If the Director is unable to meet this undertaking, the application will not be considered.

4.2 Cross-scheme eligibility

SRC staff are eligible to compete for other research funding but applicants need to demonstrate that they have the time and capacity to undertake the proposed research in addition to their commitment to the SRC and their other activities.

Once an SRC is established, it is eligible to participate in applications for Cooperative Research Centres (CRCs) providing it can be demonstrated that the autonomy and identity of the SRC will be preserved once the CRC is set up and that the Director of the SRC is able to fulfil his/her duties to the SRC.

Applicants for funding of a SRC for which they are the proposed Director may also lodge concurrent applications for Large Research Grants as a Chief Investigator, if eligible. If the SRC application is successful, the Large Research Grant(s) will not be awarded.

Directors of SRCs may apply as Team Leaders on applications to the Strategic Partnerships with Industry - Research and Training (SPIRT) Scheme or as Partner Investigators on subsequent applications to the Large Research Grants Scheme. However, they can only apply as a Chief Investigator on a Large Research Grant application in the final year of SRC funding.

5. Application Process

As the application is the prime source of information available to the selection committee, applicants should submit their projects as mature research plans ready for implementation. The application should 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, unless requested by the selection committee. All details in the application, particularly concerning any successful grants, must be current.

5.1 Application procedure

Applications must be submitted by the institution concerned, not by individual researchers. Higher education institutions are asked to act as a first stage filter in the selection process and submit only those applications which they consider to be their most competitive.

Applications involving more than one institution are permitted. In these cases, the application must detail the administrative and reporting structure, including allocation of responsibility for coordination and reporting across the institutions involved.

Applications which include partner organisations other than those listed at Appendix 1 are also acceptable provided that the main participant is an institution listed at Appendix 1.

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 by the closing date of **12 March 1999**.

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#src>

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

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

1. Organisation to administer grant

Enter the name of the institution as listed at Appendix 1 where the Director will be employed during the period of the grant.

4. Summary of Special Research Centre proposal

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.

5.2 Collaborating organisation(s) and contributions

Provide a single, three-digit, Australia and New Zealand Standard Industrial Classification (ANZSIC - ABS Catalogue Number 1292.0) for each collaborating organisation. The classification list is available on the World Wide Web at:

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

6. Budget

Provide a detailed list of all items in the project for which support is being sought from the Commonwealth in this application. 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:

- 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.

9. Classifications and other statistical information

9.1 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.

9.2 Enter at least one code under each of the RFCD and SEO classifications.

Please note: In 1999 the Higher Education Division, DETYA, will begin using the new Australian Standard Research Classification (ASRC) published by the Australian Bureau of Statistics (ABS) in 1998. The new ASRC supersedes the one published in 1993 and contains a Research Fields, Courses and Disciplines (RFCD) classification which replaces the Fields of Research Classification (FORC) and a new Socio-Economic Objective (SEO) classification. With the adoption of the new RFCD classification, the Research Category (CAT) classification is no longer required.

The **RFCD** classification defines the research according to discipline areas. If the application is multi-disciplinary, more than one code will need to be identified. 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%; and

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>

10. Certification

By signing this document, the Pro Vice-Chancellor is certifying that:

- all the details on the application form are correct;
- the applicant(s) has complied with the Special Research Centres Guidelines for Year 2000 Grants and, if successful, will accept the associated Conditions of Grant;
- he/she 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, he/she gives consent to its referral to assessors, other ARC/DETYA Schemes and/or other funding agencies for consideration.

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 20 pages**, including a one-page Executive Summary, address each selection criterion at Section 6.1 and, within the required format, include the following information.

1. A description of the proposed Centre, including:
 - primary aims, objectives and goals;
 - results and outcomes expected; and
 - how the Centre plans to achieve operational independence when the Commonwealth funding ceases.
2. Outcomes and indicators which can be measured during the review of the Centre in the third year.
3. A description of research themes and training opportunities integral to the application.
4. Current related research and training activities.
5. An outline of how the Centre plans to develop linkages with other national and international research bodies, user groups and the wider community.
6. A plan of action, or business plan and overall milestones for the proposed Centre.
7. The personnel and resources involved in the Centre.
8. An explanation and justification of the budget items sought, including the priority afforded each item and the reason for that priority.
9. Potential sources of internal and external funding to supplement the Centre grant and to assist in building up material support for the Centre after cessation of Commonwealth funding.
10. Information about the applicants' record in relation to linkages with other national and international research bodies, end-user groups and the wider community generally.
11. The proposed location of the Centre and any opportunities and benefits which will result from the location.

Curriculum vitae and supporting documentation

All applicants must provide:

- curriculum vitae, including publication details, for the proposed Director and for other key research staff (which must be **no longer than two pages** for each);
- letters of support from the Vice-Chancellor or his/her delegate confirming the provision of all resources referred to in the application; and
- a summary of the budget on the proforma at Appendix 3, in revenue and expenditure terms, which covers the period 2000-2005. The latter three-year period is expected to indicate projected estimates only.

Application format

All pages should be in black type, size 12 font on white A4 paper, single-sided, and unbound.

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. It will not be included in the page count.

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

Copies of application

An original and ONE identical copy only are required. The application must be clipped with fold-back clips, **not stapled**, and submitted in the following order: application form, additional text, and curriculum vitae and supporting documentation.

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 will not be accepted and applications received after 12 March 1999 will not be considered for funding.

Changed circumstances after submission of application

Any changes in leadership of the Centre involving the Director or Deputy Director (eg. resignation of the Director) after submission of the application should be advised.

Research Offices will submit the application, with a list of all applications despatched,

by **mail**, to:

Executive Manager
Research Programme Management Group
Higher Education Research Branch LC 441
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 4, 10 Mort Street
CANBERRA ACT 2600

5.2 Timetable

SRC selection rounds take place every three to five years, depending on the availability of funds. A selection round is announced by notifying the Chief Executive Officers and the Research Offices of higher education institutions.

<i>Month</i>	<i>Year</i>	<i>Event</i>
12 March	1999	Closing date for applications Note: Each institution will set its own closing date.
April-September	1999	Exclusion process, site visits and preparation of funding recommendations by the Research Grants Committee (RGC) of the Australian Research Council (ARC)
September	1999	RGC recommendations submitted to the ARC for endorsement
October	1999	Recommendations submitted to the Minister for approval Successful SRCs announced
January	2000	Funding commences

5.3 Limit on number of applications

Each eligible higher education institution is limited to submitting a maximum of five applications in which it is the lead institution.

6. Selection and Approval Process

6.1 Selection criteria

As the prime consideration in the selection process is the extent to which applications meet the selection criteria, each of the headings below should be addressed in the application. The numbering of the criteria does not necessarily reflect priority.

A. Merit of research

- i) The excellence of the research proposed to be undertaken by the Centre.
- ii) The potential of the SRC's programme of research to lead to a significant advancement of knowledge.
- iii) The creative and innovative nature of the proposed research.
- iv) The potential contribution of the SRC to postgraduate education and postdoctoral training.

B. Director and associated researchers

- i) The degree to which the proponents have the capacity to undertake high quality research, assessed by:
 - their research record(s). It would normally be expected that the Director would have a significant history of successful ARC/DETYA grant applications;
 - the Director's capacity for leadership, vision, management and strategic planning; and
 - the commitment of the Director and staff to the research programme.

C. National importance

- i) The extent to which the SRC would provide a national intellectual focus for the proposed field(s) of research.
- ii) The potential of the SRC's programme to enhance Australia's future social, cultural, technological or economic wellbeing.

D. International links

- i) The potential standing of the proposed SRC relative to major international centres in the general field(s) of research.
- ii) The potential for enhancement of such international interactions and the growth of effective international linkages.

E. End-user support and cooperation

- i) Where applicable, the adequacy of plans and strategies for facilitation of technology transfer.
- ii) The adequacy of institutional arrangements and plans relating to ownership of intellectual property and/or utilisation or commercialisation of research.

F. Host institution support

- i) The commitment of the host institution to provide basic infrastructure, including provision of space, equipment, IT facilities, library and any other key resources, over the funding period.
- ii) The clear commitment to provide cash support for the SRC as well as provision of funding to support the proposed Director to execute his/her role in leadership of the SRC.

G. Management and structure

- i) The adequacy of the proposed management arrangements and responsibilities, including the organisational structure of the proposed Centre, its reporting arrangements both internally and externally, its financial systems, and its business and strategic plans which should include milestones for achievement of objectives.
- ii) The relevance of the performance measures listed in the application to the Centre's objectives and their pertinence for assessing the Centre's performance.

In addition, the selection panel will take account of:

- the degree to which the application enhances the concentration and coordination of research in the particular field(s) of research;

- the fit or complementarity of the proposed SRC with the institution's overall research strengths and directions;
- the number and spread of applications within particular subject areas; and
- the extent to which applications promote research in the national interest.

6.2 Specific requirements

6.2.1 Host institution support

A statement outlining the material support to be provided by the host institution is to be submitted with the application. The statement is to be authorised by the Chief Executive Officer or his/her appointed representative.

In deciding what support will be provided, it should be noted that Commonwealth funds are to be used for research and Centre management but not for financing overhead costs which should be met by the institution.

The host institution support is expected to be significant and may take various forms, including:

- provision of the salary of the Director of the proposed SRC;
- provision of appropriate staff to undertake the current academic responsibilities of the proposed Director;
- provision of all additional accommodation, equipment and facilities specified in the application; and
- allocation to the SRC of a proportion of the appropriate components of the institution's operating grants.

6.2.2 Advisory Board

The establishment of an Advisory Board is essential to provide a wider national and international perspective as it relates to research and research training. An Advisory Board assists the Director to develop a strategic approach to the work and management of the Centre and to form a long-term vision relative to its goals. This helps to create better linkages among academia, industry and government.

Membership of the Advisory Board typically involves:

- appropriate Centre staff;
- industry or end-user community groups;
- academic expertise from at least one other higher education institution;
- visiting senior international fellows; and
- senior university staff such as the Pro Vice-Chancellor (Research).

The Advisory Board is expected to meet at least once a year.

6.2.3 Location of a SRC

A proposed SRC should be appropriately located to maximise the beneficial outcomes of its activities.

6.3 Selection procedure

Assessment of applications is undertaken by a selection committee which may seek advice from appropriately qualified persons. The selection committee prepares funding recommendations which are submitted 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.

6.3.1 Assessment

Stage 1

The RGC conducts an initial selection process which excludes applications on the grounds that they are ineligible, do not comply with application requirements, or are not competitive based on the selection criteria.

Stage 2

The remaining applications are sent to Australian and overseas referees for assessment.

Stage 3

The RGC undertakes a further selection process taking into account external assessor ratings and comments.

Stage 4

The remaining applicants are visited by a discrete expert panel comprising a member of the RGC (as panel chair), two academics (or one academic and an industry end-user panel member, whichever is appropriate), and a DETYA representative.

Stage 5

A final selection of SRCs is made based on the site visits and the previous information gathered from the shortlisted applications. Recommendations are sent to the ARC for endorsement and then to the Minister for approval.

6.4 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.

6.5 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#src>

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

6.5.1 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.

6.5.2 Naming the SRC

SRCs should not use the term “special”, “national”, “Commonwealth” or “Australian” in their title. They should, however, be designated in their sub-title as a Commonwealth Special Research Centre, for example, “Industrial Control Science, a Commonwealth Special Research Centre”. The words “Special Research Centre” may be retained after cessation of Commonwealth funding provided the SRC submits annual reports to DETYA, and the ARC and DETYA are satisfied that it is continuing to operate in accordance with the general requirements of the Research Centres Scheme.

6.5.3 Leadership of the SRC

Directors of SRCs are expected to work full-time on the activities of the Centre. It is a requirement that DETYA be informed of any changes in leadership of a SRC. If the Director resigns, or is absent for some other reason for more than a two-month period, a special review of the Centre will be conducted to examine future programme and management arrangements. If DETYA becomes aware of the Director’s absence not having been notified, funds may be withheld. This policy has been adopted as the success of a Centre is very much dependent on the academic leadership and management capacity of the Director.

7. Appeals Process

Appeals will be considered only against process issues and not against panel 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#src>

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 441
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 **Annual Report** on the use and expenditure of grant funds by 31 March in the year following the calendar year for which they were granted (see Appendix 2); 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 moneys.

8.2 Monitoring and evaluation

A SRC's performance is reviewed in its third and sixth year of operation. The review is undertaken at this time so that a timely decision can be made about the continuation of funding for a second three-year period which is dependent solely on the successful result of that review.

Broadly, the three-year review examines the extent to which the Centre has met its previously stated aims and objectives, the progress against the Centre's performance targets, the quality of outcomes to date, the management of the Centre and the extent to which it has met Scheme objectives. Considerable progress towards these objectives is to be achieved in order to receive continued funding.

Ad hoc reviews may also be held in special circumstances, such as the resignation of the Director.

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 Financial management

8.3.1 Payments

The Scheme operates on a calendar year basis. Subject to appropriations, payment of funds will be made to institutions 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.

8.3.2 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 should be made, by 31 March in the year following the calendar year for which the funds were granted, in a letter stating reasons for the carryover.

8.3.3 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 Annual 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.

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 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 research.

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 RGC 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.

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 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 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
Research Centres Scheme
Research Programme Management Group
Higher Education Research Branch
Department of Education, Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601
Fax: (02) 6240 9645
Email: rbcentres@detya.gov.au

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

Appendix 1: Eligible higher education institutions

Higher Education Institutions in Receipt of Commonwealth Funding on a Triennial Basis

New South Wales

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

Victoria

Deakin University
La Trobe University
Monash University
Royal Melbourne Institute of Technology
Swinburne University of Technology
University of Ballarat
The University of Melbourne
Victoria University of Technology

Queensland

Central Queensland University
Griffith University
James Cook University
Queensland University of Technology
The University of Queensland
University of Southern Queensland

Western Australia

Curtin University of Technology
Edith Cowan University
Murdoch University
The University of Western Australia

South Australia

The Flinders University of South Australia
The University of Adelaide
University of South Australia

Tasmania

University of Tasmania
Australian Maritime College

Northern Territory

Northern Territory University
Batchelor College

Australian Capital Territory

The Australian National University¹
University of Canberra

Multi-State

Australian Catholic University

¹ Excluding the Institute of Advanced Studies due to its special funding arrangements.

Appendix 2: Annual Report requirements for a Special Research Centre

An **Annual Report** is due on **31 March following the year of grant**. This report will be used to monitor the performance of the Centre in relation to the scheme objectives, and the Centre's aims and objectives as stated in the original application.

The **Annual Report** should be set in the context of the Centre's overall research, training and business strategy and should clearly measure progress against the specific performance targets/milestones identified in the original application. It should contain details of the operation of the Centre over the preceding calendar year, and plans for the next year. The following information is to be included.

- The Centre's original aims, objectives and mission.
- A list of the publications resulting from research conducted at the Centre.
- Conference presentations.
- Visitors to the Centre.
- International collaboration and linkages.
- Progress towards targets in the research programme of the Centre, covering the research projects undertaken, the researchers involved in each project, and the research outcomes achieved or anticipated.
- Progress in the education and training programmes.
- Achievements with respect to industry and other end-user group liaison, interaction, cooperation, and a statement on how the industry/user community linkages are being maintained.
- Progress and achievements with respect to the Centre's current and future income excluding the Commonwealth funds provided through the Centre grant.
- Achievements or progress with respect to commercialisation and technology transfer as appropriate.
- Management arrangements, including Advisory Board membership and its meetings, the structure of the Centre and its visibility.
- A list of staff and students, including numbers of students enrolled in the Centre and numbers graduated.
- Statistical data and information relevant to the agreed performance indicators.
- An annual certified statement incorporating details of expenditure for the year covered by the Centre's report and preceding years as well as estimates of future expenditure.
- A detailed activity plan for the next twelve months.

The **Annual Report** must include a fully audited statement of income and expenditure, including income derived from sources other than Commonwealth funding. The expenditure of Commonwealth funds provided under the Research Centres Scheme should be reported under the following headings. Amounts of expenditure under these headings should equal the funding provided for a given year.

Expenditure from SRC grant

- Salaries - please indicate the type of position (eg. part-time/full-time, administrative, research, technical) supported under the Centre grant and the names of Centre staff against each position.
- Travel - brief description of purpose of travel interstate, overseas, conference or other.
- Accommodation - details of any Research Centre funding which contributes to rental or purchase of accommodation.
- Equipment- an itemised list of equipment purchased under the grant.
- Maintenance/consumables - laboratory, field trips, printing costs, etc.
- Insurance/workers compensation - payments and indemnities.
- Other expenditure - report on any other expenditure not falling under the specified expenditure headings above.
- Carry overs - provide the amount and reason for carry over.

Income derived from other sources

Provide details of income from funding sources other than the SRC grant.

- **Other Commonwealth Government Funds:** Includes grants from Commonwealth funds allocated by bodies other than the ARC such as GIRD, NHMRC, AusAID, etc.
- **Industry / Private Funds:** Includes industry sponsorship, grants from the private sector, funding from overseas, funding from semi-government business enterprises (eg. Telstra), industry development boards (eg. Grain Research Development Corporation), non-profit organisations (eg. Cancer Research Fund).
- **Contracts / Consulting:** Includes revenue-raising activities such as royalties, patents, contracts from both private and semi-government agencies.
- **Host Institution Support:** Should be presented under the following headings: Scholarships, grants, salaries and equivalent full time student contributions. Accommodation or rental of Centre premises is not considered to be additional host institutional support and should not be included.
- **Other Income Sources:** Donations, including Foundations, bequests, private grants.

The Centre's annual expenditure should also be reported in the **Audited Financial Statement** to be submitted to DETYA, pursuant to the HEFA, by 30 June of the year following the grant calendar year.

Appendix 3: Summary of proposed budget for period 2000-2005

Revenue	2000	2001	2002	2003	2004	2005
SRC grant						
Other ARC/DETYA grants						
Other Commonwealth grants						
University input						
Industry/private support						
Contracts/consulting						
Other						
Total						
Expenditure						
Salaries						
Equipment						
Maintenance/consumables						
Travel						
Other						
Total						