DEPARTMENT OF EDUCATION, TRAINING AND YOUTH AFFAIRS

Research Infrastructure Equipment and Facilities Scheme

Guidelines for Year 2000 Grants
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Appendix 1: Eligible higher education institutions

Acronyms

ARC Australian Research Council

DETYA Department of Education, Training and Youth Affairs

HEFA Higher Education Funding Act 1988

RIBG Research Infrastructure Block Grants Scheme

RIEF Research Infrastructure Equipment and Facilities Scheme
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.

2. **Objectives**

The objectives of the Research Infrastructure Equipment and Facilities (RIEF) Scheme are to:

- encourage institutions to develop collaborative arrangements amongst themselves, across the higher education sector and with organisations outside the sector, to develop research infrastructure;
- support large-scale cooperative initiatives involving two or more institutions thereby allowing expensive facilities to be shared;
- enhance support for areas of research strength;
- remedy deficiencies in current research infrastructure; and
- ensure that areas of recognised research potential have access to the support necessary for development.

3. **Description**

The Commonwealth provides funding for research infrastructure in higher education institutions through the Research Quantum component of operating grants, and under the Research Infrastructure Block Grants (RIBG) Scheme and the RIEF Scheme.

Research infrastructure consists of the institutional resources essential for mounting high quality research projects in a particular field, including associated indirect costs. It excludes any direct project costs which are able to be covered from other sources of funding.

For information about the RIBG Scheme, refer to its guidelines. For information on the Research Quantum, contact the Executive Manager, Research Programme Management Group, Higher Education Research Branch, DETYA.

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 Budget items not supported

Items **not** regarded as elements of research infrastructure, for the purposes of the RIEF Scheme, which are not eligible for support and which will not be funded, include:

- capital works (i.e. construction of buildings), as institutions receive operating grant funding for capital works;
- rental of accommodation;
- operational costs, including salaries of teaching and research, and research-only academic staff (including the cost of "buying time" to free such staff to do more research);
- salaries of staff supporting research at the institutional level (e.g. Deputy Vice-Chancellor Research, Research Grants Officer);
- stipends of postgraduate research students;
- travel costs directly associated with individual projects (with the exception of travel costs to allow participation in international consortia); and
- small pieces of equipment which should be funded by institutions (e.g. personal computers).

3.3 Funding

The minimum grant under the RIEF Scheme is $100,000, with a total of approximately $19.6 million being available for distribution in 2000. Additional expenditure allocations cannot be accommodated once the grant recommendations have been approved by the Minister as there are no additional funds available.

Funding is normally for one year only and not recurrent, except where *international agreements* and *national facilities* are involved.

Where *international agreements* are involved, long-term funding will be available only if there are significant benefits to Australia by way of multi-year access to a major facility not otherwise available to Australians. Under such circumstances, the maximum funding period sought must be identified in the initial application for funding. If funding is required for more than five years, a review of the project will be conducted early in the fourth year, prior to the consideration of any application for further funding.

Where *national facilities* are involved, the maximum funding period sought must be identified in the initial application for funding and, if funding is sought for more than three years, a review of the project will be conducted early in the third year and prior to the consideration of any application for further funding. All bids for funding projects of more than one year’s duration should include a strategy for achieving independence from RIEF Scheme funding.

4. Eligibility

4.1 Institution eligibility

A list of eligible higher education institutions is at Appendix 1. Proposals **should** involve two or more eligible higher education institutions.
In some circumstances, applications from single institutions for assistance to purchase a large item of equipment or major facility on a sole-use basis may be considered under the RIEF Scheme. In such cases, the application must demonstrate that the project does not duplicate equipment or a similar facility at another institution where collaborative arrangements would be practicable.

Applications involving other organisations, such as government research organisations and businesses, are also encouraged, provided that at least one higher education institution is involved, and any funds allocated for equipment and/or facilities are used to build up infrastructure within the higher education sector.

Peak bodies representing the higher education community may act as catalysts in developing cooperative arrangements. In such cases, the peak body may apply on behalf of, and with the full written agreement of, the higher education institutions. Such applications must identify the mechanism for accountability and distribution of the grant between the eligible higher education institutions.

4.2 Project eligibility

4.2.1 Key criteria

Projects which demonstrate genuine collaboration between two or more eligible institutions/organisations are preferred. They must relate to high quality research activity and be broadly in line with the research directions of the institution(s) involved.

Collaboration will typically involve the shared use of facilities on different projects and/or collaborative projects. Where the equipment required will be located in more than one institution, the application must demonstrate that the distributed equipment will be used as an integrated facility to enhance overall research outcomes.

A Chief Investigator should be a senior researcher who will be primarily involved in the use of the equipment or facility. Normally, there will be at least one Chief Investigator from each of the collaborating institutions. Individual researchers may not be named as Chief Investigators on more than two RIEF applications in a year. Contravention of this limit may result in the exclusion of all applications involving that researcher as a Chief Investigator.

The amount sought must exceed $100,000 for research infrastructure such as:

- equipment purchases and installation;
- non-capital aspects of facilities such as libraries, computing centres, centrifugation facilities, animal houses, herbaria, experimental farms;
- salaries if they are directly associated with creating and installing the facility; and
- in the case of Australia's participation in significant international-scale projects, consortium membership costs, travel to the facility and secretariat costs.

4.2.2 Integrated facilities

The RIEF Scheme supports major facilities and equipment. Small items of equipment are the responsibility of institutions. However, there may be special circumstances in which a case can be made for an integrated facility consisting of a number of small items. Such applications will be considered only where a convincing case can be made for the necessity of the integrated facility to support research activities.
4.2.3 Ownership and location of equipment and facilities

Ownership of shared facilities and equipment provided under the RIEF Scheme is to be vested in the lead higher education institution identified on the application, listed in its assets register and located on campus. Agreement on time sharing and access to equipment or facilities must be reached between collaborating institutions before application.

It is recognised that at times it may be desirable, in very special circumstances, to fund and support the location of equipment or major national facilities outside a university campus, when access is provided to several institutions to better utilise research potential. In these circumstances, the terms of access must be guaranteed and agreed to by the parties in a contract prior to application. The costs of managing the equipment or facility should then be proportionally distributed across the users of the facility and also agreed to prior to application. In such cases, ownership of the equipment or facility is vested with the institution which receives the RIEF grant. A copy of the signed agreement specifying location, access and sharing of recurrent costs must be attached to the application.

4.2.4 Cash contribution by institutions

The cost of acquiring equipment or facilities must be itemised on the application form as cash and in-kind contributions by participating institutions. The RIEF Scheme will fund up to a maximum of 75% of the direct cost of purchasing the equipment or creating the facility.

Salaries of support or academic staff and the cost of buildings or other infrastructure may not be counted as cash contributions towards the purchase of a new item of equipment or facility. Such items may be included only as in-kind contributions.

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 are to be made by eligible institutions, not individuals. For the purposes of grant payment, a single institution must be nominated to act as the agent of all the institutions/organisations involved. This administering institution is responsible for ensuring that the endorsements of all participating institutions are submitted with the application.

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 4 June 1999.
Application form

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


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, within the required format, address the selection criteria listed in Section 6.1 of these guidelines and include the following details.

1. A description and outline of the research proposed, including the extent to which the application supports high quality research.
2. Details of staff and resources involved in the research.
3. Identification of the research activity to be enhanced, stating how and why the enhancement is important.
4. The need and level of demand for the proposed equipment in Australia, its relevance to identified national needs and priorities, and the availability of comparable infrastructure elsewhere in the country.
5. A detailed budget justification which states the amount required for each item and the priority (A, B or C) afforded each item, each budget item should be justified.
6. The financial commitment to the initiative by each institution, in cash and in kind, and a statement of forward estimates of support from the institution in future years.
7. Funding from sources other than the institutions.
8. The relationship of the application to the research management plan of the institutions involved.
9. A description of the collaborative arrangements proposed, including the involvement of each institution. For a single institution application, there is a need to provide justification as to why the application is not collaborative.
10. The arrangements proposed for the purchase or construction of the equipment, its installation, day-to-day management and operation, maintenance, access by users to the facility, and the sharing of time and resources to maximise its utilisation.
11. A strategy demonstrating that the location and environment being proposed is the most appropriate for long-term access and maintenance.

Curriculum vitae and supporting documentation

1. The curriculum vitae (CVs) are to be no more than one page (including publication details) for each Chief Investigator and additional investigator, where appropriate, and must include:
   - name;
   - qualifications and current appointment;
   - employment history;
   - a list of the ten most significant relevant publications for the last five years (including exhibitions, music recordings and other such records of achievement); and
   - details of all competitive grant funding for the last five years.

   CVs longer than one page will be removed from the application prior to assessment.
2. A copy of an agreement on access, use and maintenance between collaborators where equipment is to be located outside an eligible higher education institution as listed at Appendix 1.

3. A one-page summary of quotes for items to be purchased should be placed behind the additional text and CVs. It is not counted in the quota of pages for the additional text.

**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 person(s) on the Certification(s) 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 through the Research Office of the administering institution.

**Late additional pages will not be accepted and applications received after 4 June 1999 will not be considered for funding.**

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

by **mail**, to:

<table>
<thead>
<tr>
<th>Executive Manager</th>
<th>Executive Manager</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Programme Management Group</td>
<td>Research Programme Management Group</td>
</tr>
<tr>
<td>Higher Education Research Branch</td>
<td>Higher Education Research Branch</td>
</tr>
<tr>
<td>Department of Education, Training and Youth Affairs</td>
<td>Department of Education, Training and Youth Affairs</td>
</tr>
<tr>
<td>GPO Box 9880</td>
<td>Level 4, 10 Mort Street</td>
</tr>
<tr>
<td>CANBERRA ACT 2601</td>
<td>CANBERRA ACT 2600</td>
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</table>
5.2 Timetable

<table>
<thead>
<tr>
<th>Month</th>
<th>Year</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 June</td>
<td>1999</td>
<td>Closing date for applications with DETYA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Note: Each institution will set its own closing date</td>
</tr>
<tr>
<td>12-13 August</td>
<td>1999</td>
<td>Applications considered by the Committee for International and National Cooperation (CINC)</td>
</tr>
<tr>
<td>October</td>
<td>1999</td>
<td>Recommendations to the ARC for endorsement and then to the Minister for approval</td>
</tr>
<tr>
<td>November</td>
<td>1999</td>
<td>Announcement of successful RIEF projects and advice to applicants</td>
</tr>
</tbody>
</table>

6. Selection and Approval Process

6.1 Selection criteria

Assessment will be based on the following criteria:

- **Need and level of demand for the proposed equipment or facilities in Australia**
  The application should indicate relevance to national needs and the availability of comparable infrastructure elsewhere in Australia.

- **Excellence of the researchers and research activity to be supported**
  Evidence must be presented to show that the proposed research and the Chief Investigators’ track records are of high quality, including details of the research proposed, complemented in the attached curriculum vitae of the principal proponents by details of recent relevant publications and competitive grants.

- **Effectiveness of the cooperative arrangements between institutions, including access and resource sharing**
  The application should detail the nature and degree of cooperation involved between the collaborating institutions. Where possible (and relevant), applications should also detail past and present cooperation and collaboration between the institutions concerned. Where the application seeks an extension of existing equipment facilities and/or additional equipment for a facility previously funded under the Scheme, then the extent of the current usage should be set out.

- **The commitment of each collaborating institution**
  The application must provide clear evidence of the extent of financial and other support from the collaborating institutions and partners, and must be consistent with the institution’s research management plans.
6.2 Selection procedure

Assessment of the application 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 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:


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

7. Appeals Process

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


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; 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

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 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 in the Annual Report.

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 CINC 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, subcontractors, 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 Infrastructure Equipment and Facilities Scheme
Research Programme Management Group
Higher Education Research Branch LC 441
Department of Education, Training and Youth Affairs
GPO Box 9880
CANBERRA ACT 2601

Fax: (02) 6240 9645
Email: karen.mow@detya.gov.au

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

### 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

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

### Australian Capital Territory
- The Australian National University
- University of Canberra

### Multi-State
- Australian Catholic University