2021 National Priorities Pool Program

Student Equity in Higher Education Evaluation Framework

Expressions of Interest

Guide for Applicants

This document should be read in conjunction with Chapter 1 of the *Other Grants Guidelines (Education) 2012* (the Guidelines), available at https://legislation.gov.au https://www.legislation.gov.au.

The *Other Grants Guidelines (Education) Amendment (No. 3) 2020* amends the *Other Grants Guidelines (Education) 2012* to implement aspects of the Job-Ready Graduates Package, including establishing the Indigenous, Regional and Low Socio-Economic Status Attainment Fund (IRLSAF) and improving the implementation of the National Priorities Pool. To this end, priority areas for funding formerly set out in the annual National Priorities Pool Investment Plan will now be included in the *Other Grants Guidelines*.

Any queries should be sent to equity@dese.gov.au.

Final V1.0

EOI Key Dates

Thursday 10 December 2020 – 3:30-4:30pm Australian Eastern Daylight Time (AEDT) Information Session Webinar. Please register your interest in the webinar by **COB Tuesday 8 December 2020** by emailing equity@dese.gov.au. If you are unable to make this session please let us know, and we will make a second webinar available.

Monday 8 February 2021 – **EOIs close 5:00 pm AEDT**. Submit via email to equity@dese.gov.au.

Project key dates are at Attachment A.

Contents

1. National Priorities Pool Funding for 2021

1.1 Purpose of the National Priorities Pool Program

The Evaluation Framework project will be funded under the National Priorities Pool Program and expressions of interest must address the National Priorities Pool Program objectives. In 2021 the National Priorities Pool Program will become a new standalone program under the new Indigenous Regional Low SES Attainment Fund. The objectives of the National Priorities Pool Program are to provide grants to higher education providers to conduct research projects and trial initiatives designed to:

    (a) inform future equity policy development and equity practice nationally and at an institutional level;

    (b) help increase the number of persons from a low socio-economic status (SES) background, persons from regional areas and remote areas, and Aboriginal and Torres Strait Islander ('Indigenous') persons who aspire to, access, participate in, remain in, and succeed in higher education; and

    (c) help increase the number of persons from a low SES background, persons from regional areas and remote areas, and Indigenous persons who obtain higher education awards.

1.2 Legislative Authority

The legislative basis for the operation of the National Priorities Pool Program is the *Higher Education Support Act 2003* (HESA) and the *Other Grants Guidelines (Education) 2012* (the Guidelines).

It is the responsibility of all interested parties to familiarise themselves with the legislative framework and to seek their own independent legal and other advice as they see fit. At any particular time, due to changes in the legislation, or for other reasons, there may be inconsistencies between this Guide and the legislation, in which case the legislation shall prevail to the extent of any inconsistency.

Funding is allocated on an annual basis, and is directed towards specified priorities identified in each year.

The amended *Other Grants Guidelines* coming into effect in 2021 sets out that grants made under the National Priorities Pool Program must address at least one of the following priority areas for funding:

    (a) research that builds the evidence base that informs equity policy and practice;
    (b) trials of innovative approaches to equity policy and practice;
    (c) more effective and efficient implementation of equity policy and programs; and
    (d) responses to emerging priorities that will maximise equity student outcomes.

For the purpose of 2021 National Priorities Pool Program commissioned research the following guidance applies regarding these priorities:

Research that builds the evidence base that informs equity policy and practice
The purpose of this priority area is to gather and analyse robust evidence which will inform future equity policy development and practice. Projects addressing this priority funding area will explore opportunities for improvement in current practice and achievement, and investigate new developments in approaches to increasing access, participation, retention, and success in higher education at any university. The focus of this priority is rigorous evidence-based and evaluative

research, although robust evidence-based projects drawn from practice, that allow for stronger conclusions about the impacts of equity interventions, may also be considered. Well-constructed quasi-experimental, experimental or longitudinal studies are welcomed. Projects that draw on cross-disciplinary methodologies and expertise, such as economics, econometrics, demography, and statistics, will also be well regarded.

Trials of innovative approaches to equity policy and practice
The purpose of this priority area is to foster and test new equity interventions at <u>both</u> an institutional and a national level. Projects commissioned from this priority area will promote innovative solutions in response to a well evidenced problem by developing and trialling new ideas and practices to assist low SES groups to access and succeed in higher education. Projects addressing this priority area are expected to demonstrate potential outcomes relevant to the National Priorities Pool Program objectives and to include well integrated evaluative strategies. This priority area will also target unreasonable barriers to higher education, address current gaps in program delivery, and assist universities to expand their equity activities to new areas.

More effective and efficient implementation of equity policy and programs

The purpose of this priority area is to demonstrably improve current practice in equity policy and program delivery across the higher education sector at <u>both</u> an institutional and a national level.

Projects commissioned from this priority area will explore more effective and efficient ways to embed high quality equity approaches in the design and implementation of policy, implement and deliver programs, address identified issues, and draw on a meaningful evidence base. Projects addressing this priority area are expected to demonstrate the potential to improve program outcomes and to include well integrated evaluative strategies.

Projects that feature collaboration between universities or between universities and other stakeholders are strongly encouraged. Projects that establish meaningful information-sharing and collaboration among equity practitioners with a view to furthering the objectives of the HEPPP, and promote cooperation between policy-makers and the higher education sector, are welcomed.

Responses to emerging priorities that will maximise equity student outcomes.

The purpose of this priority area is to facilitate Table A universities to adapt their support for equity students to maximise outcomes in response to emerging priorities and periods of disruption such as those caused by the recent bushfires and the COVID -19 pandemic. This can include supporting the identification of emergent forms of disadvantage, implementation of measures to address this disadvantage, structural adjustment to improve current equity practice, and best practice implementation of equity programs (such as the HEPPP) across the higher education sector at an institutional or a national level.

1.3   Student Equity in Higher Education Evaluation Framework Funding

National Priorities Pool Program funding is available for a Student Equity in Higher Education Evaluation Framework (the 'Evaluation Framework'). The Australian Government is calling for Expressions of Interest from Table A Universities (including consortia).

<u>Please note that:</u> proposed projects **must** clearly address the project scope at <u>Attachment A </u>and funding recommendations will be determined on merit against the Assessment Criteria. Only one project will be funded.

This project will produce a Student Equity in Higher Education Evaluation Framework that will structure and guide three levels of evaluation:

- Overall national program evaluation of the Higher Education Participation and Partnerships Program (HEPPP) and its outcomes.

- Quality-improvement evaluations of HEPPP-funded university activities (for example, evaluations examining the acceptability of the activity to the target audience, administrative arrangements for the activity, or the suitability of materials used during the activity).

- Evaluations of the effectiveness and impact of HEPPP-funded university activities (evaluations of effectiveness will include an examination of the causal relationship between the activity and the observed outcomes).

The HEPPP provides funding to Table A providers to undertake activities to improve the access of people from low SES backgrounds to undergraduate courses and to improve their retention and success after they enrol at university.

The Evaluation Framework will collect information for the overall program evaluation of the HEPPP, and guide universities in individual project evaluations. By doing so, the Evaluation Framework will help determine the impact and effectiveness of the HEPPP by providing rigorous data, and a consistent approach to university-level evaluations of their HEPPP-funded activities.

The Evaluation Framework forms part of the department's strategy to foster evidence-based practice by improving the evaluation of equity activities. The department is developing a Widening Participation Longitudinal Study (WPLS) scoping and implementation study, to investigate how a longitudinal study would provide an evidence base for equity interventions that widen aspiration in schools and communities. The Evaluation Framework and the WPLS will be interdependent projects to ensure a consistent approach to gathering evidence on the impact of widening participation activities.

Higher Education Reforms

The implementation of the Evaluation Framework will coincide with the implementation of the reform of equity funding. The higher education reforms, announced on 19 June 2020, will be introduced from 2021. The reforms include the following changes to equity programs to ensure regional and remote and Indigenous students receive greater support:

- a new Indigenous, Regional and Low SES Attainment Fund (IRLSAF) realigns existing funding by combining the HEPPP, regional loading and enabling loading. Funding for these programs will be distributed according to current policy until 2023. During this time, the Australian Government will work with the sector to design a more refined model to support equity outcomes for implementation from 2024.

- the HEPPP will be reformed to ensure that regional and remote and Indigenous students will receive greater support to access and succeed in higher education.

In 2020, the impact of COVID-19 and disruption to the sector has resulted in challenges and opportunities for student equity in higher education. The Evaluation Framework will need to build in flexibility to account for rapid changes to the delivery of HEPPP programs, the effect of ongoing uncertainty on the delivery of programs, and opportunities for innovation.

Detailed requirements for the project are at Attachment A.

1.4 Student Equity in Higher Education Evaluation Framework Priority Funding Area

This project addresses **Priority 1:** *Research that builds the evidence base that informs equity policy and practice.*

1.5 Project

This process seeks Expressions of Interest (EOIs) from invited eligible Table A higher education providers (see section 2.1) in response to the project scope, including Appendix 1 and Appendix 2 to the project scope, outlined at Attachment A.

National application

The Student Equity in Higher Education Evaluation Framework has national application and will produce outcomes that can improve the design, implementation and evaluation of equity measures nationally and/or at any university. (In this context, "equity measures" means "equity activities" or "equity programs.")

Project period

The project period is outlined at Attachment B is required to be completed within the specified time period. Projects that require ongoing recurrent funding will not be funded from the National Priorities Pool Program.

Please note: You must ensure that milestones are realistic and achievable within the specified project period.

The indicative start date for this project is March 2021. The planned Research Final Report and project completion date is 15 October 2021. Key Deliverables are at Attachment A. Once funded, significant variations to the Conditions of Grant will be granted only in demonstrated exceptional circumstances.

System Map

The Student Equity in Higher Education Evaluation Framework draws on the outcomes of Stage 1 of the HEPPP Evaluation Framework - System Map. For more information about the System Map, please see Appendices 1 and 2.

Duplication of funding

National Priorities Pool Program funding will not be granted for the extension of projects that have been or would normally be funded through the HEPPP.

The National Priorities Pool Program will not fund any project that duplicates existing activities or research funded by the Australian Government.

Where the proposed project complements or builds upon a separately funded project, this must be clearly identified. Full details of any other financial support or assistance received for, or in connection with, the research activities or project must be disclosed in the EOI and on an ongoing basis.

National Applicability

All National Priorities Pool Program projects <u>must</u> produce outcomes that can be applied nationally and/or be adopted by other universities.

Quality and Outcomes

All projects must have the potential to produce publications that are of sufficient quality to be accepted by a peer-reviewed journal, and where applicable, to produce Government commissioned reports that are robust and fit for purpose.

Important: For more guidance on expenditure see Section 5 of this Guide to Applicants - *Part A 3.1 Budget and Justification*.

2. Expression of Interest (EOI) Process

2.1 Eligibility requirements

To be eligible for funding under the 2021 National Priorities Pool Program, you <u>must</u>:

- be applying on behalf of an eligible Administering Organisation, <u>or</u>
  a consortium led by an eligible Administering Organisation (see section 4.1).

To be eligible for funding under the 2021 National Priorities Pool Program, EOIs <u>must</u>:

- respond directly to <u>the project scope at Attachment B.</u>

Applications <u>must</u> be coordinated and submitted through the Administering Organisation's Research Office or equivalent business unit with responsibility for contact with the Commonwealth concerning grants proposals under the organisation's grants policies.

2.2 Maximum Number of EOIs

The maximum number of EOIs permitted in the 2021 National Priorities Pool, Student Equity in Higher Education Evaluation Framework round from one Administering Organisation is **one**.

There is no limit on how many EOIs a higher education provider may be involved in as a non-administering partner organisation in a consortium.

2.3 Information session

> **IMPORTANT:**
> An **optional webinar information session** is available for prospective applicants:
> **Thursday 10 December 2020 – 3:30-4:30 AEDT**
>
> **To attend:**
> Please register your interest in the webinar by COB Tuesday 8 December 2020 by emailing equity@dese.gov.au. If you are unable to make this session please let us know, and we will make a second webinar available.
>
> FAQs will be made available following the information sessions.

2.4   Grounds for removal from the assessment process

An EOI will be deemed ineligible and removed from the assessment process if it:

- does not clearly and directly respond to the project scope
- does not clearly address the HEPPP and National Priorities Pool Program objectives
- is for recurrent funding
- will not be completed within the specified project period
- is submitted late, unless exceptional circumstances are identified (see section 2.7)
- is incomplete, or on an altered application form
- contains incomplete, inaccurate or misleading information at the time of submission.

2.5   Forms and submission information

You must submit your EOI via email to equity@dese.gov.au by no later than
5:00 pm Monday 8 February 2021 (AEDT).
You must submit your EOI using the correct forms. These are:

1. 2021 SEHEEF National Priorities Pool Expression of Interest - Part A (Word).
   Written responses to questions must be provided using this form.
2. 2021 SEHEEF National Priorities Pool Expression of Interest - Part B (Excel)
   Project plan, risk management plan, and budget.
3. 2021 SEHEEF National Priorities Pool - Part C (Declarations).
   The form must be signed by authorised officers and converted to a PDF format.

> The correct form must be used. You must adhere to the font requirements, and to word, page, and space limits set out in the forms. Do not alter the format of the forms in any way. Do not move margins, alter font sizes, delete questions, or change the size of text boxes. Applications submitted on altered forms will be deemed non-compliant and ineligible and excluded from the assessment process.

Please note that this is a one-stage submission process, so your EOI should contain sufficient detail for the proposed project to clearly demonstrate its strengths against the Assessment Criteria.

The "Authorised Officer" will depend on the delegations and lines of responsibility for grant applications at your university. It should be a senior officer of the university with the appropriate delegation to authorise a grant application or expression of interest and to commit staff, cash or in-kind resources on behalf of the university. If you are unsure, your Research Office can advise you.

2.6   Technical assistance

If you require technical assistance with your EOI, please contact the Department of Education, Skills and Employment (the department) at equity@dese.gov.au. This email address is only monitored during Canberra business hours (AEDT).

2.7   Requests for late submission

Requests to submit an EOI late must be addressed to the Program Delegate and submitted to [equity@dese.gov.au.](mailto:equity@dese.gov.au) Requests should be made prior to the deadline.

> Please ensure you allow adequate time for submission. Late EOIs will only be accepted where exceptional are clearly demonstrated, and at the discretion of the Program Delegate.

2.8   Membership of the Equity in Higher Education Panel

If one or more members of the project team are also members of the Equity in Higher Education Panel (the Panel) (which provides strategic advice to the Government) then this must be detailed in Part C (Declarations) of the EOI form to allow the Program Delegate to determine if there is a potential or material conflict of interest.

Details of the Panel membership are available on the Department of Education, Skills and Employment website.

Note that the Panel's role is advisory only and that it does not directly scope projects, assess EOIs, or have a decision making role on National Priorities Pool priorities or funding.

Panel members are reminded of their ongoing obligation to disclose an actual, apparent or potential conflict of interest as outlined in the Panel Terms of Reference. In addition to the Part C (Declaration) form, Panel members must also complete and lodge a 'Private Interests Declaration' with the Panel secretariat outlining any actual, apparent or potential conflicts of interest.

Panel members are also reminded of their obligations regarding confidential information set out in the Deed of Confidentiality.

Panel members must be careful that EOIs are not prepared using or with the benefit of information that was confidential to the Equity in Higher Education Panel or the department.

2.9   Membership of the former Equity Research and Innovation Panel (ERIP)

If one or more members of the project team are also members of the Equity Research and Innovation Panel (ERIP) (which provided strategic advice to the Government) then this must be detailed in the Part C (Declarations) EOI form to allow the Program Delegate to determine if there is a potential or material conflict of interest.

Note that the ERIP's role was advisory only and that it did not directly scope projects, assess EOIs, or have a decision making role on National Priorities Pool priorities or funding.

Former ERIP members are reminded of their ongoing obligation to disclose an actual, apparent or potential conflict of interest as outlined in the ERIP Terms of Reference.

Former ERIP members are also reminded of their obligations regarding confidential information set out in the Deed of Confidentiality.

Former ERIP members must be careful that EOIs are not prepared using or with the benefit of information that was confidential to the Equity Research and Innovation Panel or the department.

3. Assessment

3.1   Pre-assessment

EOIs will be checked for eligibility and compliance. EOIs determined to be ineligible will be removed from the assessment process.

3.2   Assessment of EOIs

EOIs found eligible for assessment will be assessed by departmental officers against the following assessment criteria to determine the best overall value for money, that is, that the project will deliver high quality outcomes commensurate with, or exceeding, the level of investment.

	Criterion	Detail	Weight
(1)	**Evidence-based EOI**	This criterion will assess the proposed project, considering: 1.1 The extent to which the approach to the project and the proposed methodology are demonstrated to be appropriate, feasible, and robust. 1.2 Demonstrated understanding of the project requirements and the extent to which the expected outcome(s) will effectively address the project scope and deliver the project objectives. 1.3 The extent to which the evidence provided, including the background and references, substantiate the proposed approach. **Threshold: A minimum score of 22.5 is required for this criterion.**	45%
(2)	**Capacity to deliver the project as described**	This criterion will assess the extent to which the proposal has demonstrated capacity to deliver the project on time and as described, considering: 2. 1 The extent to which the project plan demonstrates a realistic plan (including clear milestones, timeframes and key performance indicators) for delivering the desired project outcome(s) as required and on time. 2.2 The extent to which the risk management strategy is comprehensive and appropriate across the lifetime (including the development, implementation and ongoing management phases) of the project. 2. 3 The extent to which the proposed budget is appropriate, clearly justified, and transparent. **Threshold: A minimum score of 15 is required for this criterion.**	30%
(3)	**Technical skills, knowledge and experience, quality outcomes**	This criterion will assess the extent to which the proposed project has the demonstrated technical expertise, experience and capacity to successfully deliver a high quality project, considering: 3.1 The extent to which the project team demonstrates the experience, expertise, and capacity to deliver the project as described, including the ability to work in a COVID-19 safe environment. 3.2 Evaluation experience and expertise - Demonstrated ability to deliver clear and high quality reports and guidance material that is	25%

		accessible to technical and non-technical audiences, including satisfactory references.	
		3.3 The demonstrated potential for the proposal to achieve the project outcomes in a high quality and cost-effective manner.	
		Threshold: A minimum score of 12.5 is required for this criterion.	

Proposals that do not satisfy each individual criterion, by scoring at least 50 per cent of the available weight, will not be recommended for funding. Proposals that do not receive a total score of 65 per cent or above will not be recommended for funding.

The department may request clarification or additional information about the EOI from a provider at any time.

The clarification or additional information received must not constitute a material change to the original EOI or a resubmission of an improved EOI.

3.3 Successful EOIs

Once all eligible EOIs have been assessed, an order of merit will be established, and funding recommendations made to the Minister for Education. The Minister (or Minister's Delegate) will then approve the successful project.

Successful Administering Organisations will be advised by email of the outcome of the assessment of their EOI. Correspondence will be sent via the nominated contact in the Research Office (or equivalent business unit) and to the Chief Investigator.

Successful Administering Organisations will be required to accept the department's Conditions of Grant (COG) before funding will be provided. An indicative pro forma COG template is attached for your information (Attachment C). The template will be completed using information from the successful EOI and provided to the Administering Organisation for review.

Successful Administering Organisations will be asked to acknowledge in writing that they accept the offer and have read and understood the COG. Note that by accepting the COG, the Recipient grants to the Commonwealth a permanent, irrevocable, free, worldwide, non-exclusive licence (including a right of sub-licence) to use, reproduce, adapt and exploit the Intellectual Property Rights in the Project Material for any purpose.

3.4 Communication

All enquiries regarding EOIs must be sent to equity@dese.gov.au.

The department may issue Frequently Asked Questions (FAQ) from time to time during the EOI process. Applicants should check with their Research Office (or equivalent business office) for the most recent notices and FAQ during the round.

At the conclusion of the assessment process, the department will provide feedback to Administering Organisations on their EOIs on request. Feedback will not be provided prior to the announcement of successful projects by the Minister for Education.

All documents held by the department with regard to EOIs for grants made through the National Priorities Pool Program are subject to the *Freedom of Information Act 1982* (FOI Act).

It is a serious offence to give false or misleading information in any EOI, proposal, report, acquittal or any other document or communication provided to the department.

4. Definitions

4.1   Organisations

Administering Organisation means an eligible Higher Education Provider (University) listed at Table A of the *Higher Education Support Act 2003* (HESA) which submits an EOI for funding and which will be responsible for the administration of the funding if the EOI is approved for funding.

Partner Organisation means an eligible Table A University that is listed on an EOI as a contributor to the Project but is not the Administering Organisation.

Other Organisation means an organisation (such as a school or TAFE) which is listed on an EOI as a contributor to the Project, but which is not a Table A University.

Consortium means a group, led by an Administering Organisation, of one or more Partner Organisations and Other Organisations collaborating on the project outlined in an EOI.

4.2   Equity groups

The six identified equity groups used by the department in the higher education context are:

- Aboriginal and Torres Strait Islander peoples
- people from low socio-economic status (SES) backgrounds
- people from non-English speaking backgrounds
- people from regional and remote areas
- people with disability
- women in non-traditional subject areas.

The official definition of each equity group is found in the *Department of Education, Skills and Employment Selected Higher Education Statistics – Student data collection* (see Section 11 – Equity Groups and Section 16 – Equity performance data).

Regional and Remote
The definition of "regional and remote" is:

Students whose permanent (first) home residence address falls within one of the following Australian Bureau of Statistics (ABS) Australian Statistical Geography Standard (ASGS) Remoteness Structure Areas:

- *Inner Regional*
- *Outer Regional*
- *Remote*
- *Very Remote*

Students whose permanent (first) home address falls within the classification of Major Cities of Australia are not regional or remote.

Remoteness Structure Area information is available from the ABS website: www.abs.gov.au/websitedbs/D3310114.nsf/home/remoteness+structure.

5. General guidance on preparing your EOI

Please ensure that you have read Section 3 of this guide which outlines the EOI Assessment Criteria. Section 5 provides *general* guidance to assist you to complete Part A (Word) and Part B (Excel) of the Expression of Interest Form.

Please ensure that you comply with the word, page and space limits stated in the forms.

Part A (Word)

Project Summary

Describe the specific aims of the project and the utility of the outcomes, including a clear statement of any hypotheses to be tested. Write your project summary simply, clearly and in plain English suitable for a non-expert audience. Avoid the use of acronyms and jargon.

We recommend your proposal summary follow this format:

- introductory statement (e.g. "this project will address/investigate/review …")
- context (e.g. "this project will generate new knowledge in the area of …")
- outcome statement (e.g. "expected outcomes of this project include …")
- benefit statement (e.g. "this should provide national benefits, including …")

If your EOI is successful, the project summary may be used to give the general community an understanding of your project.

1.1 (a) Specific Project Aims

Describe the specific aims of the project, including a clear statement of any hypotheses to be tested. Please note that these must align with project scope described at Attachment B.

1.1 (b) Project Rationale

Summarise the rationale of the project. Demonstrate that your approach is a logical, necessary and desirable response to the stated project scope. Why is the project needed? Why is the approach you propose the best approach to addressing the issues you identify?

1.1 (c) Project approach, methods and techniques to be used

Describe your proposed methodological and analytical approach to the project. Provide a detailed description of:

- your project/research design.
- your proposed methodology and analytical methods.
- the data sources you propose to use.
- methods of statistical analysis, including sample sizes, estimates of effect sizes, power calculations, etc.
- (where relevant) your proposed qualitative approaches, including sampling approaches, recruitment and retention strategies, data collection and handling, interpretive techniques etc.
- (where relevant) identify comparisons, control groups or counterfactuals, and approaches to internal and external validity.
- (where relevant) the number of students who will directly benefit, and their qualification level, course etc.
- the stakeholders you propose to consult.

- the limitations of your project/research design.

Your response to this question should make it clear what your technical approach is and why you are taking it. It should align clearly with the project scope. It should provide enough technical information to demonstrate that the approach is robust, feasible, and will achieve the outcomes you have identified. Be specific, for example if proposing a mixed methods approach, provide sufficient detail for the reviewer to understand exactly what you propose.

1.2 (a) Background and Literature Review

Describe the background to the project and to your proposed rationale and approach. Cite evidence that demonstrates why your proposed approach is appropriate, feasible and effective. Briefly outline the conceptual and theoretical framework underpinning the project. Where relevant, include information about national and international progress in this field and its relationship to this project.

In providing evidence to support your approach, you should:

- cite research that is directly relevant
- present quantifiable data, where possible
- present relevant qualitative evidence, where applicable
- use preliminary data to support the feasibility of your approach, where possible
- directly relate the evidence you provide to your approach
- avoid unsubstantiated generalisations.

1.2 (b) References

List the references that substantiate your proposed approach to this project. Include only references to cited work. Use a standard author-date journal format such as Harvard referencing. Do not include URLs.

1.3 (a) Outcomes and significance.

Describe the planned outcomes of the project, and the potential significance and scale of the outcomes. What are the potential benefits? When, where, and by whom will they be felt? What are the potential limitations and how significant are they? How will your project/research advance the field? What are the impacts at a national level?

Please note that Sections 2.1, 2.2, and 2.3 are in the Part B (Excel) form.

3.1 Capacity to deliver

Describe the project team's capacity to successfully deliver the project, including:

- the project leader and individual team members who will contribute to your project, their role within the team, their level of appointment, and the amount of time/FTE each team member will allocate to the project.
- a brief summary of team members' academic qualifications, capabilities, experience and performance history that is <u>directly relevant</u> to this project.
- the governance structures and processes for managing the project, including collaborative arrangements between organisations and reference group or steering committee membership (where appropriate).

Pay particular attention to the required skills and expertise laid out in the project scope. The EOI should clearly demonstrate that the project team is led by an academic of appropriate standing, expertise and experience and that the team is well positioned and has the capacity to undertake the work in the required timeframes. Provide specific, rather than generic information on team members. State who will lead the project, who will provide expert advice or analysis, and who will deliver administrative support. Ensure each team member's role, level and time commitment is clearly stated.

Do not rely on generic statements about your Administering Organisation's administrative or academic units. Do not provide high level generic team member biographies - ensure information is directly relevant to the requirements of this project. It is important to clearly demonstrate the experience, expertise, and skills the team member brings to the project.

If an individual is named in multiple EOIs across the 2021 National Priorities Pool Program, each EOI should clearly demonstrate that a realistic time contribution has been identified. Project outcomes should not be compromised because team members are spread too thin.

3.2 Evaluation experience and expertise

Demonstrated ability to deliver clear and high quality reports and guidance material that is accessible to technical and non-technical audiences.

Provide a portfolio of relevant system and program evaluation work including any work for Government. Include a brief synopsis of each project, including the cost/scale of the project, who the work was commissioned by, when it was undertaken, which team members were involved, the approach taken, and the outcomes of the project. Please provide sufficient detail for the department to determine the relevance of the work. Where the work is publicly available you may indicate this, but do not include hyperlinks.

Provide details of referees who the department can contact. A minimum of 2 referees should be included. Please include their Name; Position; Organisation, Agency or Department; Email and Telephone details.

For example:

Project: Darwin and Einstein Consulting 2021, *Evaluation of the Higher Education Equity Program*. Report to Department of Education, Skills and Employment.

Indicative cost: $150,000

Team members involved: Professor C. Darwin and Professor A Einstein

Synopsis:

Darwin and Einstein Consulting were engaged by the Department of Education, Skills and Employment to undertake the 2021 evaluation of the *Higher Education Equity Program*. The purpose of the evaluation was to assess the effectiveness, efficiency and appropriateness of the program, in particular examining:

- the outcomes achieved by the program
- who has benefited from the activities of the program, with particular reference to all disadvantaged groups, including people from regional and remote Australia
- whether the program provides good value for money
- what changes might be required to the program.

The evaluation drew on information from the following sources:

- **Document analysis** of program documentation, university reporting and evaluations, and international higher education equity programs.
- **Quantitative data analysis** of implementation and outcomes data.
- **Consultations** including interviews, surveys and a written submission process Department.

The final report was accepted by the department in 2021, and has informed ongoing program implementation.

Availability: Publicly available on the Department of Education, Skills and Employment website.

Referee details

Officers Name,
Director, Equity Policy,
Higher Education Division
Department of Education, Skills and Employment

Email: XXXXXXXX

Telephone: XXXXXXXX

3.3 The demonstrated potential for the proposal to achieve project outcomes in a high quality and cost-effective manner

Describe how the project represents the best use of public money, and how it will deliver the expected high quality project outcomes in a cost-effective manner commensurate with the level of investment. In framing your answer provide sufficient evidence to demonstrate value for money.

Assessors will determine the proposal with the best overall value for money by assessing against all three criteria. Therefore, the EOI **as a whole** should clearly demonstrate that it will deliver outcomes that are both cost-effective and consistent with the level of investment. Factors that assessors will consider include (but are not limited to):

- the project scale and its potential returns and benefits
- the extent to which the EOI demonstrates how the expected project outcomes will support the objectives of the HEPPP, the National Priorities Pool Program and the project scope
- the extent to which the EOI demonstrates that your proposed approach is defensible, feasible, effective, and likely to be successful
- the demonstrated overall quality of the project, including the extent to which information provided in the EOI is fully integrated into a coherent whole.

General guidance on the Part A form

Images may be included at the research team's discretion. Any images must fit within the applicable page or word limits.

Dot points may be included at the research team's discretion. Any dot points must fit within the applicable page or word limits. Please note margin restrictions.

Part B (Excel)

2.1 Project plan

1. Column 1: Select *Month Activity Commences* from dropdown list.
2. Column 2: Select *Month Activity Concludes* from dropdown list. (Ensure that the activity does not conclude before it commences.)
3. Column 3: Manually enter the *Duration* approximate number of weeks that activity will take. (No validation is applied. Check your numbers!)
4. Column 4: Enter a text description of the *Milestone / Activity.*
5. Column 5: Enter a text description of the *Key Performance Indicators.*

Use this section to describe each step of the project in sequence, demonstrating how the achievement of each milestone builds on the previous and contributes to the project outcomes. Please refer to the indicative project timeframes outlined at Attachment A.

- Your project plan should be fully integrated and consistent with the rest of your EOI, including the methodology and budget, and should align with the expected outcomes.
- Activities and milestones should be attributed to specific project team members where appropriate.
- Ensure timelines are clear and realistic.
- Pay particular attention to providing meaningful KPIs.
- IMPORTANT: Provide **SMART specific, measurable, achievable, relevant and time-bound key performance indicators** (KPIs). Where possible, KPIs should provide quantitative and qualitative information beyond simply stating that a task has been completed. Avoid KPIs that simply repeat the milestone: e.g. Milestone: "Identification of target students."
  KPI: "Target students identified." Demonstrate how you will establish this milestone has been completed in a satisfactory manner.
- For example, stating sample sizes better demonstrates the feasibility and rigour of your proposed approach, and aids the department's understanding of the scale and impact of the proposed project.

The information provided will aid in understanding the feasibility of your project and will be used in preparing the Conditions of Grant for successful projects. An example of the level of detail expected is provided below.

Month activity commences	Month activity concludes	Duration (Input approximate number of weeks)	Milestone and Activity	Key Performance Indicators
February 2021	March 2021	3	Identification of target group of students for survey, including verification of email address for sending a link to the survey. Professor A. Einstein, Professor C. Darwin (University of Hard Knox).	1000 low SES students with valid email addresses are identified.
March 2021	June 2021	16	Administration of on-line survey to assess low SES student use of and attitudes to university support services. Professor E. Durkheim, Professor M. Meade (University of Life).	60% of students invited to participate complete the survey within the timeframe allowed.

The start date in the Part B Project Plan is indicative. Any modifications to the project start date will be negotiated at the time of award of the successful project. The form is designed to show the indicative month (or months) that an activity will occur in. You can manually enter the approximate number of weeks. If required, more information can be given in the milestone and activity section. This information will be used to develop the Conditions of Grant for the successful project and the project plan will be refined at this stage.

2.2 Risk management

1. Column 1: Manually enter text that describes the *Stage of Project* that relates to the risk. This should align with the terms you use in your project plan (e.g. Stage 1, Phase 1, etc.).

2. Column 2: Manually enter a short description of the *Risk* that you have identified.

3. Column 3: Select from the dropdown list for the *Likelihood of Event Occurring*.

4. Column 4: Select from the dropdown list for the *Consequence to Project*.

5. Column 5: The *Level of Risk to Project Success* will be calculated.

6. Column 6: Manually enter your *Mitigation Strategy.*

To add additional rows: Select the side bar that contains the row number. An arrow will appear. Right click the number. A pop up will appear, select "Insert". A row will be added.

Use this section to describe your risk management strategy across the lifetime of the project.

- Identify any risks to the successful conduct of the project or its likelihood of achieving its outcomes.

- Outline how you intend to mitigate the likelihood of those risks occurring.

- Outline how you intend to reduce the impact of those risks if, despite your early efforts to mitigate them, they still occur.

Using your project plan as a starting point, provide a comprehensive outline of the risks associated with each activity/stage of the project.

In identifying risks, consider:

- whether the risks are directly relevant to the project
- how likely it is that they will occur
- what impact they will have if they do occur.

When developing your risk mitigation strategy, consider:

- what could impact the success of your project
- how you will monitor the risk over the lifetime of the project
- what you will do to reduce and/or prevent the risk occurring
- what you will do to minimise its impact if it does occur.

Well-developed risk management strategies demonstrate how a project can continue to be successful when unintended events occur. Showing that you understand the risks to your project and have a strategy in place to deal with them is more important than the level of risk identified. Outline what actions you will take if something goes wrong to ensure the project can still be delivered. Remember - A project that identifies risks and presents effective strategies to mitigate those risks across the lifetime of the project will be viewed favourably - even where the initial consequence of a risk is significant.

Stating something "won't happen" does not adequately demonstrate that you are able to manage a risk. Examples of the level of detail expected are provided below. (Note that this list is a sample of the kinds of things that might be included and is not exhaustive).

Stage of Project	Risk	Likelihood of event occurring	Consequence to Project	Level of Risk to project success	Mitigation strategy
Phase 1: Project establishment	Ethics application not successful or is significantly delayed	Possibly occur	Major	High	Expert advice sought when preparing application. Comprehensive application submitted as soon as possible. Identification of parallel activities that do not require ethics approval to minimise delays in project progress. Timely revision as required to respond to feedback– department to be advised early if problems are encountered.

Stage of Project	Risk	Likelihood of event occurring	Consequence to Project	Level of Risk to project success	Mitigation strategy
Phase 2: Establishment of outreach network	Actual costs of regional and remote travel and activities exceed planned costs	Possibly occur	Major	High	EOI costing has been developed based on quotes, and recent experience with similar projects. Monthly budget review to keep an eye on expenditure. University has clear policies, tools, cross-checks and balances for budget allocation and expenditure reporting. Expenditure will be monitored. Adjustments to project as required.
Phase 2: Data collection and analysis	Limited participation in schools – survey	Likely to occur	Moderate	Moderate	Liaise with Education Directorate to promote engagement. Draw on expertise of consortium partners to develop a short list of schools to approach. Establish early contact with potential participants. Provide clear guidance on the coverage and importance of the project, including how the survey will contribute. Maintain regular contact across the survey period.
Phase 1 and 2: Ongoing governance	Consortium partnership breaks down	Unlikely to occur	Major	High	Establish a steering committee with clear policies on project management, including a communication plan. Regular consortium meetings. Early discussion of potential points of friction in project progress. Seek formal mediation if difficulties develop that cannot be managed by the steering committee.

2.3 Budget and justification

1. Column 1: Select the *Item Type (Broad)* from dropdown list.

2. Column 2: Select *Item Type (Narrow)* from dropdown list.

3. Column 3: Manually enter a more detailed *Item Description.*

4. Column 4: Optional. Where applicable, you may also select an *Intervention Type* from dropdown list. If not applicable, leave blank.

5. Column 5: Enter text outlining the *Rationale and Justification* for the requested item.

6. Column 6: Select the *Budget Year* from dropdown list. (Year 1 ONLY - Please note that while the form allows for a project of up to three years, the WPLS 2020 Scoping and Implementation Study project is for up to 1 year only.)

7. Column 7: *($) Contribution from University or Partner.* Manually enter any financial contribution from university or partner. Round to the nearest dollar. If there is no contribution enter zero.

8. Column 8: *($) from National Priorities Pool.* Manually enter the amount requested from the National Priorities Pool. Round to the nearest dollar. If there are no funds requested enter zero.

Where salaries or other items are being funded by both the university and from the National Priorities Pool you may show amounts in both these columns.

9. Column 9: Totals will calculate automatically.

Please note: At times, you may wish to show a cash or in-kind contribution as a separate line item (for example when a contribution is made by a third party). This can be done by selecting Item *Type (Broad) "Contribution"* in column one, then selecting the appropriate *Item Type (Narrow)*. Where *"Contribution"* has been selected you will need to enter zero against dollars from the National Priorities Pool. Entering an amount above zero will result in a notification that the contribution is ineligible.

To add additional rows: Select the side bar that contains the row number. An arrow will appear. Right click the number. A pop up will appear, select "Insert". A row will be added.

Use this section to demonstrate what it will cost to deliver the project as you have described it. Describe your proposed use of the requested grant funding and your expected in-kind and cash contributions.

- Demonstrate clearly how the costs were determined.
- Justify the inclusion of these costs in your budget. Why are they needed? How do they align with the project plan?
- Demonstrate how the amount of any cash or in-kind contribution was determined.
- Describe the benefits of any cash or in-kind contribution.
- Demonstrate how your budget line items and costs are appropriate and commensurate with your project activities and expected outcomes.

The budget line items and amounts should make it clear how each activity in your project plan will be delivered.

Clearly state why each budget line item is required. Cost each line item as accurately as you can and clearly demonstrate how you have done so. Use your Administering Organisation's standardised budget tools where appropriate, or calculate costs based on your experience delivering similar projects. Identify clearly what approach you have taken.

Check that the information you have provided is realistic, consistent across the application, and that there are <u>no errors</u>.

Travel and equipment costs

All proposed travel must be for the purposes of delivering project activities that cannot reasonably be accomplished or accomplished effectively without travel.

The calculation of travel costs should show:

- the number of people expected to travel
- the method of travel (e.g. cost of airfares, cost of car hire and mileage)
- time period (e.g. flights on anticipated dates, three-day road trip).

Accommodation and allowance costs should be shown separately.

Information Technology (IT)

It is generally expected that researchers and administrative staff will have access to equipment and software that support delivery of their standard research or work duties through their Administering Organisation. Inclusion of IT hardware (including laptop computers), software, or audio-visual equipment in project budgets should therefore be accompanied by strong justification that such items are not otherwise available through your Administering Organisation, and are directly relevant to and essential for the project.

Examples of the level of detail expected are provided below. (Note that this list is a sample of the level of detail and is not exhaustive).

Item Type (Broad)	Item Type (Narrow)	Item Description	Intervention type (optional)	Rationale and Justification	Budget year	($) Contribution from university or partner agency	($) from National Priorities Pool	($) Total
Staff	Professor	Professor A. Einstein		Chief Investigator (0.3 FTE, Academic Level E) provide executive leadership, academic expertise, client liaison, quality assurance.	1	50,456	75,978	126,434
Staff	Professor	Professor E. Durkheim		Chief Investigator (0.1FTE) to coordinate and facilitate stakeholder consultations	1	0	100,243	100,243
Staff	Project Manager	Dr H Martineau		Project Manager (0.5FTE) involved in management, analysis, consultation and reporting to facilitate outcomes in accordance with the Project Plan	1	25,453	75,543	100,996
Staff	Senior Data Analyst	Dr C. Livingstone		Senior Data Analyst (0.1FTE) to plan, oversee and ensure quality in quantitative findings	1	10,000	25,000	35,000
Staff	Professor	Professor C. Darwin		Statistician (0.2FTE, Academic Level E) to assess and test the properties and performance of prototype measures	1	100,977	0	100,977
Staff	Project officer	To be appointed		Project officer (0.2FTE, HEW 6, for 1 year) to coordinate and facilitate stakeholder consultations	1	40,343	60,646	100,989
Staff	Research Assistant	To be appointed		Research Assistant (0.5 FTE, Academic Level A, for 1 year.) Research Sociologist. Interview and survey support. Based on previous experience with this task.	1	0	75,455	75,455
Event	Forum	Community of Practice Forum online	Attrition workshop	Webinar provider, access to online assessment tool, participant's workbook. Quote available on request.		0	5,565	5,565
Service	Data Collection	Interview Transcription		Professional transcription company engaged to complete transcription 200 x 60 mins x $2.75 based on recent experience, will allow the research team to focus on analysis. Quote available on request.		0	5,543	5,543
Service	Administration	Administrative costs/ Institutional overheads.		Administrative costs calculated according to the *University of Hard Knox on Commissioned Research and Institutional Overheads Policy* (Breakdown available on request).	1	25,094	0	25,094
Service	Publication Costs	Professional Editing and Graphic Design		Design and layout of report- as we do not have in-house services to undertake this work, and the cost estimate are based on similar work undertaken recently. Quote available on request.	1	0	3,000	3,000

Salaries and on-costs

Where possible identify the team member by name and position.

You should include an estimate of salaries and on-costs for researchers working on the project as part of your proposed budget. This estimate should be based on the institution's standard salary scale for academic staff or professional/general staff as appropriate. Include the proposed appointment level and step (e.g. "Academic level C3" or "Higher Education Worker (HEW) 10" and Full Time Equivalency (FTE). Calculation of on-costs should be stated and should be consistent with the institution's published grants policies.

You may include honorariums for members of reference groups in the budget. They may be included under Item Type (Broad) 'Staff' and Item Type (Narrow) 'Other' and then include details in the Item Description. Honorariums payments should be in line with the institutions published grants policies, and should be clearly costed. Please include a justification.

Where a team member has not yet been identified, please note that they are yet to be recruited.

In-kind contribution

Explain how any cash or in-kind contribution, whether from your Administering Organisation or any Partner Organisation, will support the delivery of activities in your project plan supplemental to the grant funding you are requesting. Clearly describe how this contribution has been calculated.

Team members who will receive a salary from a separate funding source to the HEPPP/National Priorities Pool should be included in the budget as an in-kind contribution. State the appointment level and proportion of time the staff member will spend working on the project and specify the nature of their contribution to the project.

Institutional overheads

Reasonable institutional overheads may be included in the budget, but a clear costing and justification must be provided. Where appropriate, you should reference your institution's policy on the costing of institutional overheads.

Data costs

Where applicable, you should include an estimate of the costs associated with data requests in your proposed project budget.

Industry Partners

Consortia (led by a Table A University Administering Organisation) that include team members from an industry partner (classed as an Other Organisation) are welcome (see the *Guide for Applicants - Section 4.1 Organisations*). The time contributed by team members from an Other Organisation may be included as a sub-contractor cost in the budget, or as an in-kind contribution. In the EOI, describe their role, their level of appointment, and the amount of time allocated, how the contribution has been calculated, and the benefits accruing.

The budget spreadsheet

The budget spreadsheet has been designed to ensure applicants provide sufficient information to allow an assessment of each proposal, while not asking an onerous amount of detail from applicants. In order to meet the constraints of the template, you should group more specific costs (line items) into broader categories (or heads of expenditure). You can then use the 'Item Description' and 'Rationale' Columns to provide further detail as necessary.

Interventions

The budget spreadsheet includes a column to allow for the identification of those costs that are associated with a type of intervention, for those projects that include an intervention as part of the project scope. (Noting the requirement at Section 2.4 that the intervention must not constitute a project currently in receipt of, or that has previously received, funding under the HEPPP or National Priorities Pool).

Part C (Declarations)

Please complete the form. Initial against all required boxes. Part C responses should be typed in Word. Signatures and initials may be affixed manually or electronically depending on your university's policy. The form should be electronically converted to PDF before submission.

Please see Section 2.8 of this *Guide for Applicants* regarding probity requirements for Equity in Higher Education Panel members.

Attachment A: Project Scope - Student Equity in Higher Education Evaluation Framework

Objective:	Develop a robust framework for the evaluation of the overall Higher Education Participation and Partnerships Program (HEPPP) and of individual HEPPP-funded university programs and activities, that can be applied to future student equity in higher education programs under the Indigenous, Regional and Low SES Attainment Fund (from 2024)
Duration:	From establishment of Conditions of Grant until 15 October 2021 (indicative).
Resources available	To be determined. The selection process is merit based, including consideration of the overall quality of the project, the experience, expertise, and capacity of the project team, the ability to deliver the required elements specified below within the required timeframe, and demonstrated outcomes commensurate with the proposed level of investment that ensures value for money.
Priority area:	Building the evidence base
EOI Type:	Commissioned Project –Table A Universities

Your EOI must respond to this project scope.

Project Description:

This project will produce a Student Equity in Higher Education Evaluation Framework (the Evaluation Framework) that will structure and guide three levels of evaluation:

- Overall national program evaluation of the HEPPP and its outcomes, which will be informed by meta-analysis and aggregating information from university activity evaluations.
- Quality-improvement evaluations of HEPPP-funded university activities (for example, evaluations examining the acceptability of the activity to the target audience, administrative arrangements for the activity, or the suitability of materials used during the activity).
- Evaluations of the effectiveness and impact of HEPPP-funded university activities (evaluations of effectiveness will include an examination of the causal relationship between the activity and the observed outcomes).

The HEPPP provides funding to Table A providers to undertake activities to improve the access of people from low socio-economic status (SES) backgrounds to undergraduate courses and to improve their retention and success after they enrol at university. From 2021, the HEPPP will be broadened to also support people from regional and remote Australia, and Indigenous people.

The Evaluation Framework will collect information for the overall program evaluation of the HEPPP, and guide universities in individual project evaluations. By doing so, the Evaluation Framework will help determine the impact and effectiveness of the HEPPP by providing rigorous data, and a consistent approach to university-level evaluations of their HEPPP-funded activities.

The Evaluation Framework forms part of the department's strategy to foster evidence-based practice by improving the evaluation of equity activities. The department is developing a Widening Participation Longitudinal Study (WPLS) scoping and implementation study, to investigate how a longitudinal study would provide an evidence base for equity interventions that widen aspiration in

schools and communities. The Evaluation Framework and the WPLS will be synergistic projects to ensure a consistent approach to gathering evidence on the impact of widening participation activities. It is expected that the WPLS will provide a complementary data source to investigate the impact of interventions in schools and communities. As such, the Evaluation Framework and the longitudinal study will need to share a consistent typology of interventions, to allow for additional triangulation of data sources. The department will facilitate information sharing as required during the project.

Higher Education Reforms

The implementation of the Evaluation Framework will coincide with the implementation of the reform of equity funding. The higher education reforms, announced on 19 June 2020, will be introduced from 2021. The reforms include the following changes to equity programs to ensure regional and remote and Indigenous students receive greater support:

- a new Indigenous, Regional and Low SES Attainment Fund (IRLSAF) realigns existing funding by combining the HEPPP, regional loading and enabling loading. Funding for these programs will be distributed according to current policy until 2023. During this time, the Australian Government will work with the sector to design a more refined model to support equity outcomes for implementation from 2024.
- the HEPPP will be reformed to ensure that regional and remote and Indigenous students will receive greater support to access and succeed in higher education.

In 2020, the impact of COVID-19 and disruption to the sector has resulted in challenges and opportunities for student equity in higher education. The Evaluation Framework will need to build in flexibility to account for rapid changes to the delivery of HEPPP programs, the effect of ongoing uncertainty on the delivery of programs, and opportunities for innovation.

The National Priorities Pool Program is a standalone program (from 2021) under the IRLSAF. Evaluation of the National Priorities Pool Program is not directly in scope for the Evaluation Framework, however where appropriate, evaluation of projects funded through the National Priorities Pool Program, or evaluation of the program itself may draw on the findings of the Evaluation Framework.

Stage 1 of Evaluation Framework – System Map

The department undertook an initial phase of development of the Evaluation Framework in 2018. This first phase defined the component tasks required to develop the full framework, and completed the first of these component tasks – the development of a system map.

The aim of the system map is to create a standardised data approach that will allow a meta-analysis across individual HEPPP projects, to inform overall HEPPP evaluation. The system map aims to help equity practitioners and other evaluators to understand the program logic of their project, and to make decisions about the data they should collect to inform the evaluation of their projects, particularly evaluations of the project's effectiveness. The system map focuses on rates of flow of students, over time, and identifies the central evaluation questions of 'what rate of flow has the activity sought to influence' and 'has the activity succeeded in influencing that rate.' Note, the system map does not replace a program logic, rather, it provides the variables that can be chosen to measure the outputs of a project, which form one part of a program logic. The system map identifies these variables, to ensure a consistent collection of data across the equity interventions in all universities.

The system map and its focus on 'rates of flow of students' simplifies the Evaluation Framework by reducing the number of variables that could be considered in scope, as having a causal impact on higher education outcomes (e.g. aspiration, academic preparedness, familiarity with university admission processes). These variables can still be measured as "secondary variables of interest", but without the need for nationally agreed, shared and consistent collection of data.

Further detail is at Appendix 1.

Stage 2 –Evaluation Framework - Required Outputs and Deliverables

There are four primary components to this project.

A. Overarching objectives

- Develop a national Evaluation Framework that will structure and guide three levels of evaluation:
    - overall requirements for the national program evaluation of the HEPPP,
    - quality-improvement evaluations of university HEPPP-funded activities,
    - evaluations of the effectiveness of university HEPPP-funded activities.
- Further develop the system map of variables relevant to university student outcomes and the method by which universities can link their activities both to this map and to the overall HEPPP program-logic model; or develop an alternative approach to standardising measurement of effectiveness of HEPPP programs, that allows a meta-analysis across individual HEPPP funded programs or projects.
- Consider the evaluation methodologies for interventions earlier than Year 10, where the range of variables is less transparent.
- Provide advice on factors to consider for the evaluation of programs under the Indigenous, Regional and Low SES Attainment Fund (from 2024).
- Provide advice on reporting and collection of administrative data on HEPPP funded programs and projects.

B. University evaluations

- Develop principles and guidelines for universities to use in rigorous quality-improvement evaluations of their activities.
- Develop principles and guidelines for universities to use in rigorous evaluations of the effectiveness their activities, including the use of counterfactuals or control groups and identified measures of inputs, outputs and outcomes, in a way that is comparable across institutions and activities, and which builds a body of data that enables an evaluation of the overall HEPPP.
- Develop the mechanism for the pre-registration of evaluations (to ensure consistent and unbiased selection of programs to be evaluated), and recording how many and/or which of each university's programs are to be evaluated by each university in a particular year. This mechanism should include both evaluations of activity effectiveness and quality-improvement evaluations.
- Develop a system for universities to register which activities they will evaluate.

C. Overall evaluation of the HEPPP

- Develop the complete requirements to collect the body of evidence required to inform the future overall evaluation of the HEPPP. This will include a draft design of the evaluation, to inform what information is needed to conduct it. The complete requirements will include:

- o specifying what information must be collected for each student who participates in each HEPPP activity;
  - o a method by which participating students, and the activities in which each has participated, can be linked (not necessarily incorporated into) to the Higher Education Student Data Collection, including opportunities for the use of the Unique Student Identifier, while giving consideration to privacy issues;
  - o a set of descriptors of activities and guidelines for how these should be used, consistent with the typology of interventions identified in the WPLS scoping study;
  - o a set of identified measures of activity inputs, outputs and outcomes for use in university evaluations of their activities and guidelines for how these should be used.
- Identify various methods of aggregating information from university activity evaluations into an evaluation of the overall program.
- Identify any new data that must be collected nationally in order to facilitate the evaluation framework.
- Identify how program management data and reporting can support the overall evaluation.
- Identify a data linkage strategy to create efficiencies by using existing administrative data, where possible, while giving consideration to privacy issues.

D. Reporting strategies
- Develop a national reporting strategy so that:
  - o data collection is complete, reliable, valid, consistent, and high quality;
  - o annual reporting of university HEPPP activities is efficient, streamlined and minimises administrative burden;
  - o annual reporting of university HEPPP activities is suitable to support future overall evaluations of the program;
  - o reporting of university evaluation activities is robust and suitable to support future evaluations of the program and individual activities, including evidence based arguments for HEPPP's causal influence and integrated analyses of evaluation outcomes.

Overview of Proposed Research

The project's results will be presented to the department as two components:
- A Final Report that presents the full findings of the project.
- A streamlined *HEPPP Evaluation Framework Guidance Manual* that will assist universities to undertake and report on evaluation activities, including recommendations on accompanying tools (i.e. reporting templates).

The Final Report should include at a minimum the following material:
  1. Summary of findings and recommendations
  2. Detailed description of the methodology
  3. Description of data and data sources
  4. A report of the designated outcomes of the project providing:
     a. A national HEPPP Evaluation Framework that will structure and guide overall program evaluation of the HEPPP, quality improvement evaluations of university HEPPP-funded activities, and evaluations of the effectiveness of university HEPPP-funded activities.
     b. Principles and guidelines to support universities in both quality-improvement and effectiveness evaluations of their activities with particular emphasis on effectiveness

evaluations, including an assessment of the causal influence of activities upon outcomes.

    c. A design for a mechanism by which it can be determined how many, and which of, each university's programs are to be evaluated by each university in a particular year.

    d. The specification of the information that must be collected for each student who participates in each HEPPP activity.

    e. A practical method by which participating students, and the activities they have participated in, can be linked to information in the Higher Education Student Data Collection that is consistent with opportunities for data linkage.

    f. A set of descriptors of activities and guidelines for how these should be used.

    g. A set of measures of activity inputs, outputs, and outcomes for use in university evaluations of their activities and guidelines for how these should be used.

    h. An updated system map of variables relevant to university student outcomes and a method by which universities can link their activities to this map and to the overall HEPPP program-logic model.

    i. A description of how the evaluation framework will drive improved targeting of university HEPPP activities to low-SES students.

    j. A description of various methods of aggregating information from university evaluations of their activities into an evaluation of the overall program, including into arguments for HEPPP's causal influence and integrated analyses of evaluation outcomes.

    k. Identification of any new data that must be collected nationally in order to facilitate the evaluation framework.

    l. A method and recommendations for accompanying tools that will ensure rigorous and reliable data collection, and streamline annual reporting of university HEPPP activities and their evaluations, ensuring that reporting appropriately supports future evaluations of the program.

    m. A copy of all raw data and associated metadata that is collected in the course of conducting this project.

    n. A copy of all data collection instruments (if any) used.

The *HEPPP Evaluation Framework Guidance Manual* will follow the [Magenta Book](#) as a template for developing a guide to impact evaluation. The Guidance Manual is expected to include the following material:

1. The system map and instructions on how to use it.
2. Lists of activity and data descriptors.
3. Specifications for what data must be collected on each student who participates in each HEPPP-funded activity.
4. Standardised measures of variables.
5. Principles and guidelines for quality improvement evaluations.
6. Principles and guidelines for effectiveness evaluations, including the use of counterfactuals or control groups.
7. Any information the department considers useful to include in the manual (as opposed to communicating outside of the manual) to give guidance to universities on the publication template, the evaluation report template, and the HEPPP reporting template.
8. Instructions on registration of evaluation trials.
9. Instructions on how to determine which and how many activities are to be evaluated by each university.

Required skills and expertise

This project involves a substantial amount of work, and requires a very high level of technical expertise, experience, and capacity. The EOI should clearly demonstrate that the project team is led by an academic of appropriate standing, expertise, and experience. Project teams should be assembled with this in mind. The team undertaking the project will:

- have formal qualifications directly relevant to the proposed evaluation work
- have extensive demonstrated expertise and experience in developing and implementing evidence-based investigative studies
- have extensive demonstrated system and program evaluation expertise, experience, and capacity
- have demonstrated understanding of university student data collection and management
- have demonstrated experience and expertise in data linkage
- have demonstrated understanding of student equity in higher education demonstrate exceptional project management skills and the demonstrated ability to manage high profile large scale projects and deliver high quality reports to Government in tight timeframes
- demonstrated experience in evaluating large scale government programs is highly desirable
- present a proposal that clearly represents value for money.

The team must be able to provide a portfolio of relevant evaluation work and details of referees.

The department welcomes cross-disciplinary approaches that require mathematical, statistical, or other analyses as well as social policy expertise and analysis.
Applicants may consider putting together a consortium so as to assemble the required high level of evaluation expertise, experience, and capacity are welcomed. Project teams that include partners with national government program evaluation expertise (including from outside the education sector) are welcome.

Should the project manager wish to work with partners or subcontractors then they should demonstrate that they also have the ability to effectively manage subcontractors.

Project governance and communication

The project manager and team are required to work very closely with the department through the course of the project. This will include an inception meeting, agreement on a project plan and methodology prior to the project commencing, co-design of key elements of the project, regular progress meetings and feedback on milestone deliverables. The department expects that most meetings will occur via teleconference or videoconference.

The department also expects that the successful provider will consult with the National Centre for Student Equity in Higher Education, Universities Australia, Equity Practitioners Higher Education Australasia, universities and other relevant stakeholders throughout the course of the project, with a view to having the sector accept the main points of the project before the final report is delivered.

Indicative timeframes

Key Milestones	Indicative date
Milestone 1 – Inception meeting	5 March 2020
Milestone 2 – Detailed project plan	12 March 2021
Milestone 3 – Progress report	1 June 2021
Milestone 4 – Draft final report and draft guidance manual	1 September 2021
Milestone 5 – Final report and Guidance manual	15 October 2021

(Note that these timelines are indicative and may need to shift at the department's end.

This will be advised during the establishment of Conditions of Grant.).

Presentation of outcomes

This project will be established under the *Higher Education Support Act 2003* Conditions of Grant.

In addition to submitting the Final Report and Acquittal Report, the successful university must submit a Final Research Report that includes:

- an executive summary
- detailed descriptions of the methodologies employed
- a literature review of relevant research
- a description of the evidence base, data and data sources used
- a detailed presentation of the research outcomes
- an analysis of the research outcomes,
- conclusions and
- recommendations.

The department expects the Research Report submitted to be of commensurate quality with work submitted to quality peer-reviewed academic journals for publication.

Appendix 1:   Student Equity in Higher Education Evaluation Framework – System Map

Background

Student equity in higher education

The Higher Education Participation and Partnerships Program (HEPPP) currently provides funding to Table A providers to undertake activities to improve the access of people from low-SES backgrounds to undergraduate courses and to improve their retention and success once they enrol at university.

From 2021, HEPPP eligibility will be extended to students from regional and remote areas and Indigenous students.

Evaluation of the HEPPP by ACIL Allen

In 2016 the Department of Education commissioned ACIL Allen to conduct an evaluation of the HEPPP, assessing its appropriateness, effectiveness and efficiency. The ACIL Allen HEPPP evaluation found that it was difficult to objectively determine the effectiveness of the HEPPP due to the lack of rigorous data and the absence of consistent university-run evaluations of HEPPP-funded activities.

One recommendation from the ACIL Allen HEPPP evaluation was:

> *That a HEPPP evaluation framework be established to collect information for overall program evaluation of the HEPPP and guide universities in individual project quality improvement and impact evaluations. It should be a condition of HEPPP funding for each university that the overall program evaluation data be collected, and a number of each university's programs be evaluated annually and in accord with the HEPPP evaluation framework. The annual reporting should be streamlined to only require the minimal additional information necessary for funding, audit and acquittal purposes.*

Requirements for a Student Equity in Higher Education Evaluation Framework

The ACIL Allen HEPPP Evaluation started to assess both improvements in the targeting of HEPPP activities, to evaluate the overall effectiveness of the HEPPP, and to allow integrated analyses of evaluation outcomes (e.g. meta-analyses), it will be necessary to require, at a minimum:

- the collection of information on each student who participates in each HEPPP funded program
- a method of linking the information on participating students to the Higher Education Student Data Collection
- the use of a set of standardized descriptors for activities and an identified set of measures of inputs, outputs and outcomes, and
- a map of variables relevant to university student outcomes and a method for linking university activities to this map of relevant variables and the overall HEPPP program-logic model.

Access to, and participation in, higher education is the result of the interplay between a wide variety of factors. Those factors include, for example, a person's:

- physical attributes (e.g. general physical health, disability)
- cognitive attributes (e.g. intelligence, knowledge, attitudes, beliefs, desires)
- family context (e.g. extent to which education is valued within the family)
- geographic and community context
- access to high quality primary and secondary education and resulting educational attainment
- cultural factors (e.g., cultural views about formal education conducted indoors versus practical experience gained outdoors)
- economic factors (e.g., whether it is possible to earn more, and more quickly, without higher education than with it).

Not all these factors have an established causal relationship to access, participation and success in higher education, and many causal influences are at best difficult to measure.

A stock and flow approach

The Student Equity in Higher Education Evaluation Framework (the Evaluation Framework) will be under-pinned by a system-map showing the processes, behaviours, beliefs and attitudes that lead to a student accessing, participating, and succeeding in higher education. It will also show the interrelationships between those variables and the HEPPP program-logic.

There are a vast number of variables that may have a causal influence on a student accessing, participating, and succeeding in higher education. Not all these variables have high quality evidence that establishes this causal relationship, and many variables may be beyond the reach of government policy. The impact of the variables may also change over time, as students mature and progress through schooling and onto university.

The stock and flow approach models a chained sequence of behaviours and outcomes, including the processes (behaviours) of applying to university, and then of accessing, participating in, succeeding in, and finally completing, higher education. Stock-and-flow diagrams represent the flow of the unit of interest (e.g. students, or available university places) through a system. Flows of the unit of interest through the system are represented as rates. They include time as a variable and so have the capacity to coherently represent different causal variables acting at different points in time.

Purpose of the System Map

The purpose of the draft Student Equity System Map (Appendix 2) is to help practitioners and others involved in evaluating university HEPPP-funded projects to:

- understand the program logic that provides the rationale for their project
- choose the relevant variables to examine for evidence of the project's causal impact.

A stock-and-flow approach that focuses on rates reduces the imposts associated with project evaluation for universities. Variables such as "aspiration", "academic preparedness", "familiarity with university admission processes", and the manner in which a HEPPP project is intended to influence the variables, all become secondary to the primary rate-related questions which are:

What rate(s) does your project seek to influence?

Has your intervention succeeded in influencing that rate?

For example, a university may run a program that supports commencing low SES students, as a cohort identified as having a low retention rate. The program is offered to commencing students in Semester One. Some students return to undertake Semester Two studies, some do not. The flow of students from Semester One to Semester Two is a 'rate of flow'. If all students who finish semester one enrol for semester two then the rate is 1. The 'rates of flow' to be measured for this program could be:

- How many participants in the program are enrolled in Semester Two?
- What proportion of participants who have completed semester one enrol in Semester Two?

Secondary variables can still be considered at the project-level (and if relevant, their influence *will* be reflected in rate changes). However, there is no need for the Evaluation Framework to develop agreed and shared measures of these secondary variables (e.g., aspiration, preparedness, etc.) at a national level. This reduces the impost of new data collection upon universities.

The system map:

- integrates the variables that are known to be causally related the outcomes of interest
- includes variables that can be measured, and are in scope for policy, and has minimal impost for data collection
- includes time as an aspect, to show the pipeline of a student's lifecycle, and show variables that are developmental in nature
- will facilitate an equity practitioner being able to identify the point of causal impact of their project
- will help an equity practitioner choose the relevant variables to examine for evidence of their project's causal impact
- reduces the very large number of variables at play in educational outcomes, so that they are manageable in number
- simplifies the other components of the evaluation framework that establish shared measures, and discussions of methods and designs
- ensures alignment at a system level.

Issues

The system map does not extend further back in time than Year 10 in secondary school. Evaluations for HEPPP projects that are run earlier than Year 10, or during Year 10, will need further consideration. The strongest basis on which to evaluate an early-years HEPPP intervention would be to compare the end-of-Year-10 rate-of-flow for the students who were the object of the intervention, with the rate-of-flow for those who did not receive the intervention. It is only once students have completed compulsory at the Year 10 that they are able to make choices regarding their future education, as these choices can be captured in system-wide rates (in enrolment).

Illustrative examples

Example project: ATAR bonus points added to low-SES applications for university entrance

The two centrally relevant rates for showing the impact of this project are:

- The rate at which offers are made to low-SES applicants improves compared to what it was prior to the beginning of this project (i.e. a greater proportion of low-SES applicants receive an offer after the introduction of the project)
- The rate at which offers are made to low-SES applicants relative to high SES applicants improves after the introduction of the project (i.e. if 65% of low-SES applicants and 70% of high SES applicants received offers prior to the introduction of the project then it might be that 68% of low-SES applicants and 70% of high SES applicants receive an offer after the introduction of the project)
- Examining the rates of acceptances by SES; enrolment rates by SES; and (eventual) success rates by SES for the relevant cohorts compared to cohorts prior to the introduction of the project, could also be useful.

Example project: Mentoring of years 11 and 12 students by university students

The centrally important rates for showing the impact of this project are:

- The relative rates of (i) application for university entrance, (ii) acceptance of offered places, (iii) enrolment, (iv) being retained until the census date, from those:
    - students who were mentored versus students who were not, provided that the two groups of students (mentored and not mentored) were alike in as many aspects as possible (e.g. through matched pairs)
    - students in schools where the mentoring program was carried out versus those students in schools where the mentoring project was not carried out, provided that the two groups of students (mentored and not mentored) and the two groups of schools (ones where the mentoring project was carried out and ones where it was not carried out) were alike in as many aspects as possible.

The critical point is "alike in as many aspects as possible." Since this is difficult to ensure, other relevant rates are:

- the relative rates of application, acceptance, enrolment, and retention to census date, from students in schools where the mentoring project was run, before and after the introduction of the mentoring project.

How the System Map will inform development of the HEPPP Evaluation Framework

Activity and data descriptors, data specifications

The Evaluation Framework project will develop (i) a set of descriptors of university activities and (ii) a set of descriptors of the inputs, outputs and outcomes of university activities. All these descriptors are for use in both university quality improvement and university effectiveness evaluations. A set of *measures* of inputs, outputs and outcomes of each activity will be developed for use in university evaluations. Guidelines for how these should be used will be developed in the *HEPPP Evaluation Framework Guidance Manual.* Consideration will be given to alignment with measures used in other projects including the Widening Participation Longitudinal Study (WPLS).

The system map will identify those rates that measure the primary variables that are known (i.e. are empirically established) to be related to the outcomes of interest. The system map establishes how to measure those rates, using data universities already have to calculate the rates. The system map reduces the requirement to have all the secondary variables defined in the guidance manual and reduces the impost of new data collection upon universities.

Evaluations of the effectiveness of university projects

Evaluations of program effectiveness (also known as impact evaluations) assess the extent to which observed change can be causally attributed to the action of the program. Causal attribution relies upon the use of counterfactuals and control groups. ACIL Allen HEPPP Evaluation specifically recommended that an evaluation framework include information about the use of counterfactuals and quasi experimental approaches.

Two objectives of the evaluation framework are to

- develop principles and guidelines for universities to use in their evaluations of the effectiveness of their activities, including the use of counterfactuals or control groups.
- use evaluations of effectiveness of the HEPPP-projects to improve project targeting.

The *HEPPP Evaluation Framework Guidance Manual* will use the Magenta Book as a template for guidelines on impact evaluation for universities. The development of this guide is a large component of the evaluation framework. The system map reduces the size of the task.

Future overall evaluation of the HEPPP

The aims of the evaluation framework include to:

- develop the requirements for the overall evaluation of the HEPPP;

- develop principles and guidelines for universities to use in quality-improvement evaluations of their activities;

- develop principles and guidelines for universities to use in their evaluations of the effectiveness of their activities, including the use of counterfactuals or control groups;

- identify various methods of aggregating information from university activity evaluations into an evaluation of the overall program.

The requirements of the overall evaluation of the HEPPP will set out the elements that are needed to make an *evidence based argument* about the overall impact of the HEPPP. This will include qualitative mechanisms suitable for aggregation, such as the most significant change technique, as well as quantitative mechanisms. Strategies for building a causal argument to build a triangulated evidence base to argue for causal contribution could include:

- Logical timing (cause precedes effect in time; this leads to regression discontinuity designs);

- Dose-response link (regression discontinuity designs, so-called "ABAB" designs, etc.);

- Statistical control of variables (e.g., use of covariates in analyses);

- Causal mechanisms-i.e., program theory and other theory-traced through paths of influence (this could be particularly useful with a stock-and-flow system map where changes in rates can be tracked through the system).

These complementary pieces of evidence can be used to build a plausible argument for the causal contribution of a program to changes on outcome variables.

HEPPP iMap v1
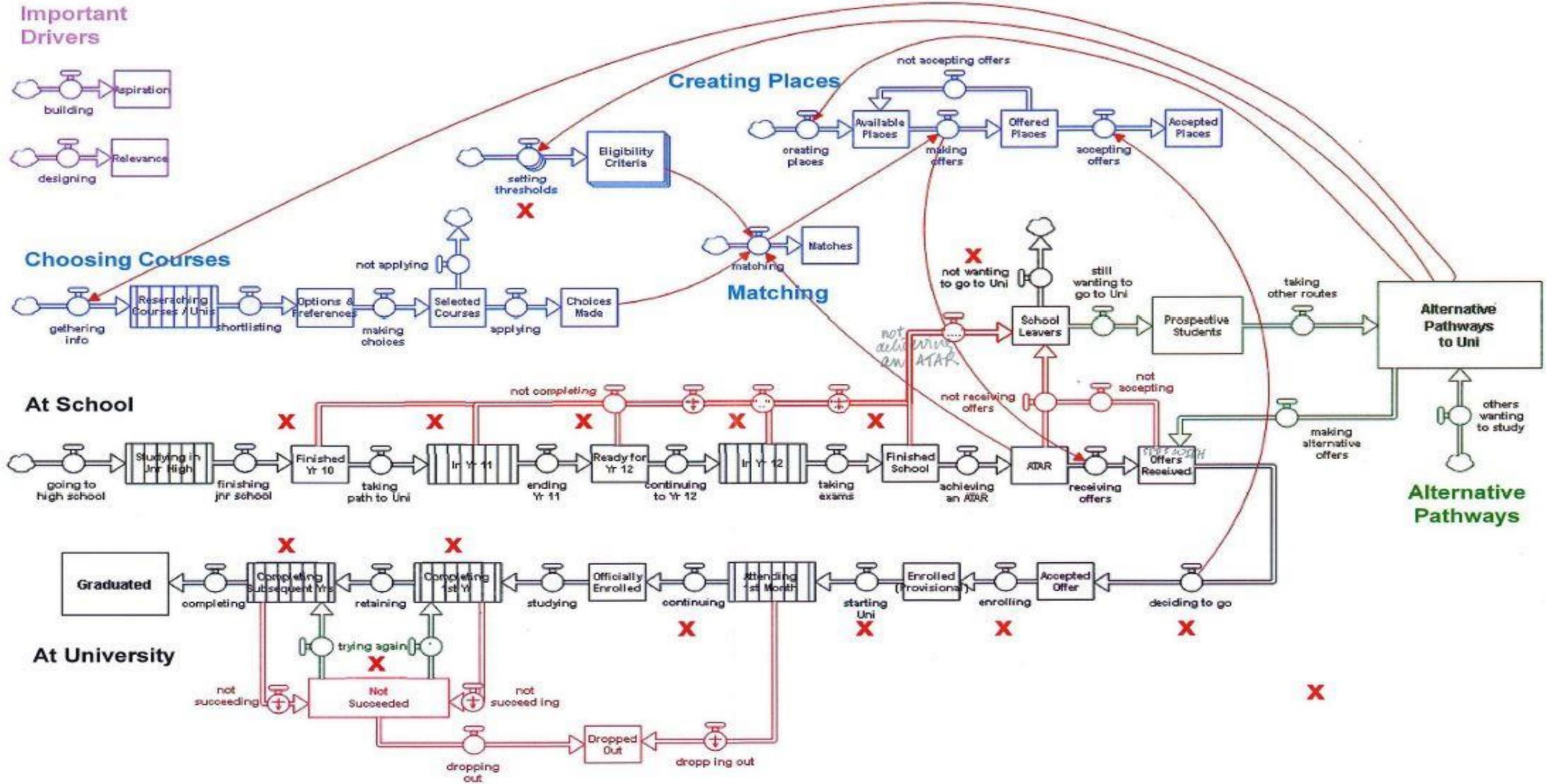
Australian Government
Department of Education and Training

enzyme group

Australian Government

Department of Education, Skills, and Employment

Conditions of Grant

(*Higher Education Support Act 2003*)

Higher Education Support Act 2003

APPROVAL OF A GRANT TO AN ELIGIBLE BODY CORPORATE UNDER SECTION 41-20;

DETERMINATION OF THE AMOUNT OF A GRANT UNDER PARAGRAPH 41-30(b);

AND

DETERMINATION UNDER SUBPARAGRAPH 41-25(b)(i) OF THE CONDITIONS ON WHICH A GRANT IS MADE

I, XXXXX, a delegate of the Minister:

A. Approve under section 41-20 of the *Higher Education Support Act 2003* (the "**Act**") a grant ("**Grant**") to the body corporate specified in item 1 of Part A ("**Part A**") of the Annexure (the "**Annexure**"), which is headed Details of Grant, in respect of the project ("the **Project**") specified in item 2 of Part A of the Annexure;

B. Determine under paragraph 41-30(b) of the Act that the amount of the Grant in respect of the Project is the amount specified in item 5 of Part A of the Annexure; and

C. Determine under subparagraph 41-25(b)(i) of the Act that the Grant is made on the Conditions of Grant ("the **COGs**") contained in Part B (**"Part B"**) of the Annexure.

Dated   2019

_____

XXXX

Assistant Secretary

Governance, Quality and Access Branch

Higher Education Division

Australian Government Department of Education, Skills, and Employment

Higher Education Support Act 2003

[Provider]

[ABN]

ANNEXURE TO

APPROVAL OF A GRANT TO AN ELIGIBLE BODY CORPORATE UNDER SECTION 41-20

DETERMINATION OF THE AMOUNT OF A GRANT UNDER PARAGRAPH 41-30(b);

AND

DETERMINATION UNDER SUBPARAGRAPH 41-25(b)(i) OF THE CONDITIONS ON WHICH A GRANT IS MADE

PART A OF ANNEXURE: DETAILS OF GRANT

PART B OF ANNEXURE: CONDITIONS OF GRANT

[*insert date]

PART A OF ANNEXURE

DETAILS OF GRANT

1. **The Recipient**

   1.1 The **Recipient** is **[provider]**.

2. **Project**

   2.1 The Project title is **[title]**.

   2.2 As part of the Project, the Recipient must:

   [***insert details regarding what the Recipient must do as part of the Project – delete the insertion (a) below as necessary]**.

   (a) Deliver the Project addressing the scope at Attachment A1, using the approach described in its Expression of Interest to the Department of [date] at Attachment B.

   OR

   (a) Deliver the Project using the approach described in its Expression of Interest to the Department of [date] at Attachment A1.

   2.3 The Recipient must achieve the Milestones for the Project as set out in Schedule 1 to these Conditions of Grant.

   2.4 The Recipient must conduct the Project with the personnel specified in its Expression of Interest to the Department of **[date]**. If the specified personnel are unavailable, the Recipient must supply alternative personnel with the skills required to conduct the Review and acceptable to the Department.

3. **Project Objectives**

   3.1 The Project Objectives are to:
   - (a) **[*insert]**
   - (b) **[*insert]**.

4. **Project Period**

   4.1 The Project Period for this Project is from the date that this determination is made until **[date]**.

5. **Grant**

   5.1 The total amount of the Grant is **[$]**.

   5.2 The amount of the Grant does not include GST. Should GST be applicable we may vary the amount of the Grant to take into account the effect of the GST, without having to remake these Conditions of Grant.

   5.3 Details of the milestones are as set out in Schedule 1 and the manner and time of payment for each part of the Project is as provided for in clause 5 of Part B.

6. **Reporting**

41

6.1 **[If required -**The Recipient must provide a Progress Report to the Project Delegate which, at a minimum, must separately and distinctly address the following matters:

    a. a report of work done for each item set out in Schedule 1 from Project commencement to due date of Progress Report milestone in Schedule 1;

    b. evidence of completion of the relevant milestones for the period set out in Schedule 1;

    c. any risks (actual or projected) to successful delivery of Milestones for the remainder of the Project Period;

    d. a statement of actual versus budgeted income and expenditure for the reporting period, including details of expenditure of the Grant and interest earned on Grant Funds; and

    e. a statement signed by a person authorised to do so on behalf of the Recipient that the reports are, to the best of their knowledge, a true and accurate statement of the status of the project.

6.2 A template for the Progress Report will be provided by the Department and the Progress Report must be in this format.

6.3 The Progress Report(s) must be provided to the Project Delegate by **[date], [date], and [date]**

6.4 The Recipient must provide a **Final Project Report,** covering the period from the project commencement to the project completion as set out in Schedule 1, to the Project Delegate and must contain, at a minimum:

    (a) A Final Research Report

    (b) evidence that the Project specified in item 2 (including the Milestones in Schedule 1) has been completed;

    (c) a statement describing the objectives and outcomes achieved as a result of the Grant for the Activities specified in item 2 of Part A;

    (d) copies of any published reports, pamphlets or other documentation relevant to the Project which has not already been included in Progress Reports; and

    (e) an Acquittal report as set out below.

6.5 A template for the Final Project Report will be provided by the Department and the Final Report must be in this format.

6.6 The Final Project Report, including the Acquittal Report, must be provided to the Project Delegate by **[date]**.

6.7 The Recipient must provide the Acquittal Report to the Project Delegate and it must contain, at a minimum:

    (a) a certificate signed by the Recipient's chief executive officer (or equivalent) or any other senior officer of the Recipient's organisation acceptable to the Project Delegate, that all Grant Funding received was expended for the Project and in accordance with these Conditions of Grant;

    (b) an audited detailed statement of income and expenditure in respect of the Grant Funding, which must include a definitive statement as to whether the financial accounts are true and fair;

    (c) an audit statement that the Grant Amount was expended for the Project and in accordance with these Conditions of Grant; and

(d)   any other requirements set out in these Conditions of Grant or any other information required by the Project Delegate and advised by the Project Delegate to the Recipient.

6.8 Unless otherwise approved by the Project Delegate in writing, the audits referred to above must:

(a)   comply with the Australian Auditing Standards; and

(b)   be carried out by a person who is:

     i.   registered as a company auditor under the *Corporations Act 2001*, or a member of the Institute of Chartered Accountants in Australia (who is entitled to use the letters CA or FCA), or of CPA Australia (who is entitled to use the letters CPA or FCPA) or the Institute of Public Accountants (formerly the National Institute of Accountants) (who is entitled to use the letters MNIA, FNIA, PNA or FPNA); and

     ii.   not a principal, member, shareholder, officer or employee of the Recipient (the Recipient's holding company or a subsidiary of the Recipient or the Recipient's holding company).

7.   Program Evaluation and Post Project Reporting

At any time up to thirty-six (36) months after the end of the Project Period, the Commonwealth may request additional information from the Recipient for the purposes of any review or evaluation that the Commonwealth may undertake of the Program or of the Project. Pursuant to clauses 8 and 16 the Recipient must comply with any reasonable request the Commonwealth makes for this purpose.

8.   Project Delegate

7.1 The contact details for the Project Delegate are:

Assistant Secretary

Governance, Quality and Access Branch

Higher Education Division

Department of Education, Skills, and Employment

Location Code: C50MA7

GPO Box 9880, CANBERRA ACT 2601

Email: equity@dese.gov.au

PART B OF ANNEXURE

CONDITIONS OF GRANT

1. MEANING OF WORDS

In this Part B of the Annexure:

"**Act**"	the *Higher Education Support Act 2003*
"**Activities**"	the details for the Project specified in item 2
"**Asset**"	means:
	(a) any item of personal, real or incorporeal property which has a value over $2,000; and
	(b) any group or class of items of personal, real or incorporeal property which has a total value over $2,000,
	(other than Intellectual Property Rights or the Report) created or purchased wholly or partly from the Grant
"**Auditor-General**"	the office established under the *Auditor-General Act 1997* and includes any other entity that may, from time to time, perform the functions of that office
"**Available Material**"	the Report and any Third-party Material
"**Budget**"	the Budget set out in Table 1 of Schedule 2 to Part A
"**Clause**"	when followed by any number "X", means clause X of Part B
"**Conditions**"	these conditions of grant as set out in Part B
"**Conditions of Grant**"	has the same meaning as Conditions
"**Conflict**"	refers to the Recipient engaging in any activity or obtaining any interest that would interfere with or restrict it from carrying out its obligations under these Conditions fairly, independently and otherwise in accordance with these Conditions of Grant
"**Department**"	the Commonwealth Department of Education, Skills, and Employment
"**Existing Material**"	means all Material owned by You in existence prior to the commencement of these Conditions of Grant:
	(a) incorporated in;
	(b) supplied with; or
	(c) required to be supplied with, or as part of,
	the Project Material.
"**Grant**"	the grant referred to in Part A
"**Grant Amount**"	the amount referred to in item 5
"**Grant Funds**"	the funds making up the Grant Amount

"Grant Funding"	has the same meaning as Grant Funds
"Intellectual Property Rights"	also **"IPRs"** - includes all copyright (including rights in relation to phonograms and broadcasts), all rights in relation to inventions (including patent rights), plant varieties, registered and unregistered trademarks (including service marks), registered designs, circuit layouts and all other rights resulting from intellectual activity in the industrial, scientific, literary or artistic fields
"Item"	when followed by any number "X", item X of Part A, unless otherwise specified
"Material"	any document, equipment, software (including source code and object code), goods, information and data stored by any including all copies and extracts of the same
"Milestones"	the milestones set out in Schedule 1
"Minister"	the Commonwealth Minister for Education
"Other Grants Guidelines"	the *Higher Education Support Act 2003 - Other Grants Guidelines (Education) 2012*, as amended from time to time
"Part A"	Part A of this Annexure
"Part B"	Part B of this Annexure
"Personal information"	has the same meaning as it does in the Privacy Act
"Privacy Act"	the *Privacy Act 1988* as amended from time to time
"Program"	the **Higher Education Participation and Partnerships Program**
"Program Objectives"	the objectives of the Program as specified in section 1.40 of the *Other Grants Guidelines (Education) 2012*
"Project"	the project undertaken by the Recipient as specified in item 2
"Project Objectives"	the objectives of the Project as specified in item 3 of Part A
"Project Delegate"	the Branch Manager, Quality and Access Branch, Higher Education Group, in the Department, or any other Branch Manager within the Department who may from time to time have Departmental responsibility for the Project. The Project Delegate's contact details are set out in item 8 of Part A
"Project Material"	all Material:

(a) brought into existence for the purpose of performing this Conditions of Grant, including the application form submitted by the Recipient, the Project plan (if any) and the Reports;
(b) incorporated in, supplied or required to be supplied along with the Material referred to in paragraph (a); or
(c) copied or derived from Material referred to in paragraphs (a) or (b)

"**Project Period**"	the period specified in item 4 of Part A during which the Project must be completed
"**Recipient**"	the body corporate that is responsible for the Project as specified in item 1
"**Records**"	includes documents, information and data stored by any and all copies or extracts of the same
"**Report or Reports**"	the Report or Reports referred to in item 6 and clause 8
"**Secretary**"	the Secretary of the Department
"**Third-party IPRs**"	the IPRs in any Third-party Material
"**Third-party Material**"	any Material incorporated or supplied with the Report in which the IPRs are owned by a third party alone or jointly with any other party (including the Recipient)

2.   PREAMBLE

2.1.   Under Division 41 of the Act, the Commonwealth may make grants to certain higher education providers (referred to in the Act as a "Table A provider") to **promote equality of opportunity in higher education, being the purpose specified in item 1 of the table in subsection 41−10(1) of the Act.**

2.2.   Under paragraph 41-25(b)(i) of the Act, where the grant is being made under a program for which the Other Grants Guidelines (which are defined in section 41-5 of the Act) do not specify conditions that apply to grants under that program, the grant is made on such conditions (if any) as the Minister determines in writing and also on the condition that the body must meet the quality and accountability requirements.

The Minister's delegate has approved the Grant in respect of a Project. The Recipient agrees to accept the Grant on the terms and conditions set out in these Conditions of Grant.

2.3.   The Grant is for the purpose of promoting equality of opportunity in higher education.

2.4.   The Program is governed by Chapter 1 of the Other Grants Guidelines.

CONDITIONS OF GRANT

3.   THE GRANT

3.1.   The Grant is for:

(a) the Activities and must only be spent on the Activities; and
(b) the amount in respect of the Project as set out in item 5.1 of Part A.

4.   THE PROJECT

4.1.   The Recipient must carry out the Activities:

(a) in accordance with the Program Objectives and the Conditions;
(b) at the times and in the manner specified in item 2 of Part A and Schedule 1;
(c) in accordance with the Project Plan (if any) and the Budget (if any);
(d) within the Project Period; and

(e) diligently, effectively and to a high standard.

5. PAYMENT

5.1. Subject to compliance by the Recipient with the terms of these Conditions, the manner and time of payments for the Project will be in accordance with Schedule 2.

5.2. Without limiting the Commonwealth's rights, the Project Delegate may withhold or suspend any payment in whole, or in part, at any time, if, in his or her reasonable opinion:

(a) the Recipient has not performed the obligations under these Conditions, including if the Recipient fails to complete a Milestone within the time and manner set out in Schedule 1; or

(b) the Recipient has money that has not been acquitted or is outstanding under this or any other arrangement (whether statutory or contractual) with the Department.

5.3. The Department may, at any time, require the Recipient to provide an audited report which complies with the requirements in item 6.7 of Part A regarding the expenditure of the Grant under these Conditions up to the date specified by the Department.

5.4. If the Department exercises its rights under clause 5.2 or 5.3, the Recipient must continue to perform all of its obligations under these Conditions, unless the Project Delegate agrees otherwise in writing.

5.5. The Department is not responsible for the provision of additional funds to meet any expenditure in excess of the Grant Amount.

5.6. If the Recipient wishes to make any change to the Activities or to the timing or manner of payment of the Grant, these changes must first be approved by the Minister (or the Minister's delegate) in writing. To obtain any such approval, the Recipient must first send the Project Delegate a written request for the approval in accordance with clause 9.1 including detailed reasons for the request.

6. MANAGEMENT OF GRANT FUNDING

6.1. The Recipient must:

(a) manage the Grant Funds in accordance with item 5 of Part A and this clause 6;

(b) place the Grant Funds in a high interest bearing account and interest earned on the Grant Funds must be:
   i. expended on the Project; and
   ii. reported to the Department,

(c) identify the receipt and expenditure of the Grant Funds separately within the Recipient's accounting Records so that at all times Grant Funds are identifiable and ascertainable; and

(d) acquit all of the Grant Funds provided under these Conditions at the times and in the manner specified in item 6 of Part A.

6.2. The Recipient must keep financial Records relating to the Project to enable:

(a) all expenditure related to the Project to be identified in the Recipient's accounts;

(b) the preparation of financial statements in accordance with Australian Accounting Standards;

(c) the audit of those financial Records in accordance with Australian Auditing Standards; and

(d) the acquittal of all Grant Funding provided under these Conditions in the manner specified in item 6 of Part A.

6.3. Unless otherwise specified by the Department in item 3 of Part A, the Recipient must not use the Grant:

(a) to fund any capital works, construction or building activities, including the refitting or upgrade of any existing building;

(b) on expert advice that has already been provided or is available through government businesses or a government project;

(c) for marketing in relation to the Recipient or any other higher education provider;

(d) for travel, unless such travel is approved by the Department;

(e) to provide gifts or bonuses for the Recipient's officers, employees, subcontractors or agents;

(f) as security to obtain, or comply with, any form of loan, credit, payment or other interest;

(g) for the preparation of, or in the course of, any litigation; and

(h) for any purchase or other activity for which the Recipient is being provided with other Commonwealth, State or Territory funding.

6.4. The Recipient must only spend the Grant:

(a) for the purposes of the Project; and

(b) in accordance with these Conditions and the Other Grants Guidelines.

6.5. The Recipient must do all things necessary to ensure that all payments from the Grant Funding that the Recipient makes to third parties are correctly made and properly authorised and that the Recipient maintains proper and diligent control over the incurring of all liabilities.

7. OVERPAYMENT AND REPAYMENT

7.1. If at any time, an overpayment occurs, including where an invoice is found to have been incorrectly rendered after payment then this amount must be repaid to the Department within 20 business days of a written notice from the Department, or dealt with as directed in writing by the Department; or

7.2. An overpayment may be recovered from the Recipient, including by offsetting that overpayment against any amount subsequently due to the Recipient under these Conditions or any other arrangement between the Recipient and the Department or between the Recipient and the Commonwealth generally.

7.3. If, whether during or at the completion of the Project Period some or all of the Grant Funding has not been:

    i. spent in accordance with these Conditions or the Other Grants Guidelines; or

    ii. acquitted to the Department's satisfaction,

then this amount may be required to be repaid to the Department in accordance with the Act.

7.4. If, by the completion of the Project Period, the Recipient has not spent the entirety of the Grant Amount, the Department may recover the unspent amount.

7.5. Any amount owed to the Commonwealth under these Conditions, is recoverable by the Department as a debt due to the Commonwealth by the Recipient without further proof of the debt by the Department.

8. REPORTING AND EVALUATION

8.1. The Recipient must provide the Department with Progress Reports and a Final Report in accordance with item 6 of Part A and this clause 8. The Reports must be:

(a) provided at the times specified in item 6 of Part A or as otherwise notified by the Department to the Recipient from time to time;

(b) in the manner specified, including any particular format specified, in item 6 of Part A, or in the manner, including any particular format, otherwise notified by the Department to the Recipient from time to time.

8.2. The Recipient must, if requested by the Department pursuant to item 7 of Part A, participate in any evaluation of the Project or the Program undertaken by the Department, including by persons authorised to do so on behalf of the Department.

9. ADDRESS FOR REPORTS AND NOTICES

9.1. The Report, any notice, and any request referred to in clause 5.6 provided by the Recipient to the Department must be submitted electronically in PDF and Word format to the Project Delegate or in hard copy where requested.

10. DISSEMINATION

10.1. The Commonwealth may publicise the award of the Grant to the Recipient and information about any aspect of the Conditions at any time, in such manner and to such parties as it sees fit.

11. LIAISON AND MONITORING

11.1. The Recipient must:

(a) liaise with and provide information to the Project Delegate, or a person nominated by the Project Delegate, as reasonably required by the Project Delegate;

(b) collaborate with, liaise with and provide timely information to the Partner, as reasonably required for the satisfactory completion of the Project in accordance with these Conditions; and

(c) comply with all reasonable requests, directions, or monitoring requirements received from the Project Delegate.

11.2. If, in the Project Delegate's reasonable opinion, there has been a failure to comply with clause 11.1, the Department may withhold or suspend payment, in accordance with clause 5.2.

12. DISCLOSURE OF INFORMATION

12.1. The Department gives no undertaking to keep confidential these Conditions or any information in a Report unless otherwise notified by the Department to the Recipient in writing.

13. ASSETS

13.1. The Recipient must not use Grant Funds for the purchase of Assets unless the Asset is identified in the Project Budget in Schedule 2.

13.2. During the Project Period, the Recipient must not use Assets for any purpose other than the performance of the Project unless it has obtained the prior written approval of the Department.

13.3. The Recipient must:

(a) not encumber or dispose of any Asset, or deal with any Asset other than in accordance with these Conditions of Grant, without having obtained the prior written approval of the Department;

(b) safeguard all Assets against theft, loss, damage or unauthorised use;

(c) maintain all Assets in good working order;

(d) be fully responsible for, and bear all risks arising in relation to, the use or disposal of any Asset;

(e) maintain appropriate insurances for all Assets to their full replacement value, and provide satisfactory evidence of this on request from the Department;

(f) maintain a register of all Assets, recording the date of purchase or lease, the purchase or lease price, Asset description, Asset location, the proportion of the Grant used to create or acquire the Asset, details of disposals of the Asset, including the sale price; and

(g) as and when requested, provide copies of the register of Assets to the Department.

13.4. At the end of the Project Period, and for the three subsequent years, Assets must be used only to undertake activities and to implement strategies that promote equality of opportunity in higher education, or such other purpose as the Minister approves at the request of the Recipient.

14. INSURANCE

14.1. The Recipient must, for as long as any obligations remain in connection with the Grant, ensure that it has appropriate insurance, including:

(a) Workers' compensation insurance for an amount required by the relevant state or territory legislation; and

(b) Public liability insurance (i.e. insurance that covers a Recipient's liability arising out of negligent acts or omissions that cause personal injury to other people or damage to the property of another person or organisation) for an amount of not less than ten million dollars ($10,000,000) per claim.

14.2. The Recipient must, on request by the Department, provide certificates verifying the currency of the insurances specified in clause 14.1.

15. INDEMNITY

15.1. The Recipient must indemnify the Commonwealth against any:

(a) loss or liability incurred by the Commonwealth;

(b) loss of or damage to Commonwealth property; or

(c) loss or expense incurred by the Commonwealth in dealing with any claim against the Commonwealth, including legal costs and expenses on a

solicitor/own client basis and the cost of time spent, resources used, or disbursements paid by the Commonwealth;

arising from:

     (i)   any act or omission by the Recipient, or any of the Recipient's employees, agents, or subcontractors in connection with these Conditions of Grant, where there was fault on the part of the person whose conduct gave rise to that liability, loss, damage, or expense;

     (ii)   any breach by the Recipient or any of the Recipient's employees, agents, or subcontractors of obligations or warranties under these Conditions;

     (iii)   any use or disclosure by the Recipient, or its officers, employees, agents or subcontractors of personal information held or controlled in connection with these Conditions; or

     (iv)   the use by the Commonwealth of the Available Material, including any claims by third parties about the ownership or right to use Intellectual Property Rights, or moral rights (as defined in the *Copyright Act 1968*), in the Available Material.

15.2. The Recipient's liability to indemnify the Commonwealth will be reduced proportionally to the extent that any fault on the part of the Commonwealth contributed to the relevant loss, damage, expense, or liability.

15.3. The Commonwealth's right to be indemnified is in addition to, and not exclusive of, any other right, power, or remedy provided by law, but the Commonwealth is not entitled to be compensated in excess of the amount of the relevant loss, damage, expense or liability.

15.4. In this clause 15, "**fault**" means any negligent or unlawful act or omission or wilful misconduct.

16. ACCESS TO PREMISES AND RECORDS

16.1. The Recipient must at all reasonable times give:

(a) the Auditor-General;

(b) the Privacy Commissioner (meaning the Office of the Australian Information Commissioner, established under the *Australian Information Commissioner Act 2010*, including any other entity that may, from time to time, perform the functions of that Office);

(c) the person occupying the position of Group Manager, Higher Education Group in the Department;

(d) a member of the Internal Audit Branch in the Department, on production of photo identification; or

(e) any person authorised in writing by the Secretary:

     (i)   reasonable access to:

          A.   the Recipient's employees;

          B.   premises occupied by the Recipient;

          C.   Material; and

     (ii)   reasonable assistance to:

          A.   inspect the progress on the Activities;

B.   locate and inspect Material;

C.   make copies of Material and remove those copies; relevant to the Project.

16.2.   The rights referred to in clause 16.1 are subject to:

(a) the provision of reasonable prior notice to the Recipient; and

(b) the Recipient's reasonable security procedures.

16.3.   If a matter is being investigated which, in the opinion of a member of the Internal Audit Branch in the Department or any person authorised in writing by the Secretary, may involve an actual or apprehended breach of the law, clause 16.2 will not apply.

16.4.   The requirement for access specified in clause 16.1 does not in any way reduce the Recipient's responsibility to perform its obligations under these Conditions.

17.   INTELLECTUAL PROPERTY RIGHTS IN THE REPORTS AND THE PROJECT MATERIAL

17.1.   Subject to this clause, ownership of the Project Material and the Intellectual Property Rights in the Project Material vest in the Recipient immediately on their creation.

17.2.   The Recipient grants to the Commonwealth a permanent, irrevocable, free, world-wide, non-exclusive licence (including a right of sub-licence) to use, reproduce, adapt and exploit the Intellectual Property Rights in the Project Material for any purpose.

17.3.   To the extent that the Commonwealth needs to use any of the Existing Material or Third Party Material provided by the Recipient in connection with the Project, the Recipient grants to, or must obtain for the Commonwealth, a permanent, irrevocable, world-wide, royalty free, non-exclusive licence (including the right to sub-licence) to use, reproduce, adapt, modify and communicate that Material.

17.4.   The Recipient must, if requested by the Commonwealth to do so, bring into existence, sign, execute or otherwise deal with any document which may be necessary or desirable to give effect to this clause.

17.5.   The Recipient:

(a) warrants that it is entitled, or will be entitled at the relevant time, to deal with the Intellectual Property Rights in the Project Material (including Third-party IPRs) in accordance with this clause 17;

(b) agrees to obtain from each author of the Available Material a written consent to the performance of the Specified Acts (whether occurring before or after the consent is given) by the Commonwealth or any person licensed by the Commonwealth to use, reproduce, adapt and exploit the Available Material; and

(c) agrees to provide to the Commonwealth, on request, the executed original of each consent.

17.6.   In this clause, "**Specified Acts**" means any of the following acts or omissions by or with the authority of the Commonwealth in relation to the Available Material:

(i)   using, reproducing, adapting or exploiting all or any part of the Available Material, with or without attribution of authorship;

(ii)   supplementing the Available Material with any other Material;

(iii)   using the Available Material in a different context to that originally envisaged;

but not including false attribution of authorship.

18. RECORDS

18.1.   The Recipient must keep and make available to the Department on the Department's request full and accurate Records of the conduct of the Project including the receipt and use of Grant Funding (in accordance with Australian Accounting Standards).

18.2.   The Recipient must retain Records for 7 years after the completion of the Project and if requested by the Commonwealth, shall promptly allow persons authorised by the Commonwealth access to such records.

19. PROTECTION OF PERSONAL INFORMATION

19.1.   The Recipient agrees:

(a) to comply with all of the requirements of the Privacy Act (including the Australian Privacy Principles) in relation to any act or omission in connection with these Conditions of Grant, as if the Recipient were an agency as defined in the Privacy Act;

(b) to deal with Personal Information received, collected, created or held by the Recipient for the purposes of these Conditions of Grant only to fulfil the Recipient's obligations under these Conditions of Grant; and

(c) ensure that any contractor engaged by the Recipient to perform any of its obligations under these Conditions of Grant is contractually bound to comply with the Australian Privacy Principles.

19.2.   An act done or a practice engaged in by the Recipient or a subcontractor to meet (directly or indirectly) an obligation under these Conditions:

(a) is authorised by this clause 19 for the purposes of sub-sections 6A(2) and 6B(2) of the Privacy Act even if the act or practice is inconsistent with an Australian Privacy Principle or a registered APP code (as defined in the Privacy Act) that applies to the Recipient or the subcontractor; but

(b) is subject to the other obligations in these Conditions including this clause 19.

19.3.   In this clause, "received" includes "collected".

20. ACKNOWLEDGMENTS, PUBLICATIONS AND PUBLICITY

20.1.   The Recipient must acknowledge the contribution made by the Commonwealth to the Project in all related promotional material. In particular, the Recipient should ensure that:

(a) the acknowledgment is prominently recorded and commensurate with that given to state or local government, corporate or other sponsors;

(b) any formal statement issued in relation to any aspect of the Project, including speeches, media releases, brochures, should make reference to the Commonwealth contribution;

(c) any signs and plaques erected in association with the Project must acknowledge the Commonwealth's assistance; and

(d) where an official opening or launch is proposed for the Project the Minister is to be invited to attend or to send a representative.

21. DELAY

21.1. The Recipient must take all reasonable steps to minimise delay in completion of the Project.

21.2. If the Recipient becomes aware that:

(a) the Recipient will be delayed in progressing the Project in accordance with these Conditions;

(b) the Project will not be completed by the date specified in item 4 of Part A;

the Recipient must immediately notify the Department in writing of the cause and nature of the delay. The Recipient is to detail in the notice the steps the Recipient will take to contain the delay.

21.3. On receipt of a notice of delay, the Minister (or his delegate) may, at the Minister's sole discretion:

(a) take any action that the Minister is permitted to take pursuant to the Act;

(b) take such other steps as are available under these Conditions, including withholding or suspending of payment under clause 5.2 until the relevant Milestone has been completed to the Department's reasonable satisfaction.

21.4. Unless the Department takes action under clause 21.3, the Recipient is required to comply with the timeframe for progressing and completing the Project as set out in these Conditions.

22. CONFLICT OF INTEREST

22.1. The Recipient warrants to the best of its knowledge after making reasonable inquiries that no Conflict exists or is likely to arise in the performance of its obligations under these Conditions.

22.2. If during the Project Period a Conflict arises, or is likely to arise, the Recipient must:

(a) immediately notify the Commonwealth in writing of that Conflict and of the steps the Recipient proposes to take to resolve or otherwise deal with the Conflict;

(b) make full disclosure to the Commonwealth of all relevant information relating to the Conflict; and

(c) take steps as the Commonwealth may, if it chooses to, reasonably require to resolve or deal with the Conflict as required.

22.3. For the avoidance of doubt, the Recipient's obligations under this clause 22 do not prohibit the Recipient from:

(a) performing services (including research and other services) for other people or organisations; and

(b) performing other activities,

so long as the Recipient's performance of those other services or activities will not impact on the Recipient's ability to perform its obligations under these Conditions fairly, independently and otherwise in accordance with these Conditions.

23.   COMPLIANCE WITH LAWS AND POLICIES

23.1.   The Recipient must, in carrying out its obligations under these Conditions of Grant, comply with:

(a) all relevant statutes, regulations, by-laws and requirements of any Commonwealth, State, Territory or local authority; and

(b) any Australian Government policies relevant to the Grant and notified to the Recipient by the Minister at the time of the Grant.

23.2.   The Recipient acknowledges that:

(a) it may have obligations under the *Workplace Gender Equality Act 2012* and must comply with those obligations;

(b) when dealing with its employees, it must comply with the *Fair Work Act 2009* and related legislation, and obligations under relevant occupational health and safety laws;

(c) Chapter 7 of the *Criminal Code Act 1995* provides for offences which attract substantial penalties, including theft of Commonwealth property and other property offences, obtaining property or financial advantage by deception, offences involving fraudulent conduct, bribery, forgery and falsification of documents;

(d) giving false or misleading information is a serious offence under the *Criminal Code Act 1995*;

(e) the publication or communication of any fact or document by a person which has come to their knowledge or into their possession or custody by virtue of compliance with these Conditions of Grant (other than a person to whom the Recipient is authorised to publish or disclose that fact or document) may be an offence under section 70 of the *Crimes Act 1914*, punishment for which may be a maximum of two years imprisonment;

(f) in respect of data, including personal information, held in connection with these Conditions of Grant, any unauthorised and intentional access, destruction, alteration, addition or impediment to access or usefulness of the data stored in any computer in the course of complying with these Conditions of Grant is an offence under Part 10.7 of the *Criminal Code Act 1995* which may attract a substantial penalty, including imprisonment;

(g) it is aware of the provisions of section 79 of the *Crimes Act 1914* relating to official secrets;

(h) it is aware of its obligations under Part 4 of the *Charter of United Nations Act 1945* and the *Charter of the United Nations (Dealing with Assets) Regulations 2008*;

> ***Note: more information about the Charter of United Nations Act and the Charter of United Nations (Dealing with Assets) Regulations is***

available at
http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html

(i) it may be subject to the provisions of the *Competition and Consumer Act 2010* and the *Archives Act 1983* and must comply with any such provisions.

24.   Applicable Law and Jurisdiction

24.1.   The laws of the Australian Capital Territory apply to the interpretation of these Conditions.

Schedule 1

Project Milestones

1. Project Plan

2. Research Report

The Recipient must produce a Research Report containing:

- an executive summary;
- a summary of findings;
- a detailed description of the methodology;
- a literature review of relevant research;
- a description of data and data sources;
- detailed findings;
- the data analysis, including analysis of data gaps;
- the conclusions;
- a copy of all data collection instruments used; and
- an explanation of how the raw data (and associated metadata where appropriate) collected in the course of delivering the Project will be retained in *accordance with clause 18 of Part B.*

3. Project timeframe of activities and performance

Timeframe	Milestone and Activities	Key Performance Indicators
*[*insert due date for the Milestone]*	*[*insert a description of the Milestones and the Activities which must be completed to complete the Milestone]*	*[*insert performance indicator which measures completion of the Milestone]*

Schedule 2

Project Budget and Payments

1. In accordance with clause 4.1(c) of the Conditions of Grant, the Recipient must carry out the Activities in accordance with the Budget set out in Table 1 below.

Table 1 – Budget – Year 1

Expenditure item	Grant Funds	Recipient Contributions	Other Contributions	Total Cost
[*insert a description of the expenditure item here]	*[*insert the amount of grant funds allocated to the expenditure item here]*	*[*insert any contributions towards this item that the Recipient may be making from its own funds]*	*[*insert any contributions which may be made towards this item by a third party – e.g., state govt funding or a contribution from a third party]*	*[*add columns 1 to 4 here]*
TOTAL				

Insert additional as required for remaining years. [Note to drafters – An example Budget is included above. You must complete the Budget to include

details of the expenditure for the Grant. If the Recipient submitted a grant application, these details may be included in that application, otherwise you may need to liaise with the grant recipient to obtain this information. In accordance with clause 4.1 of the Conditions of Grant, the Recipient must carry out the Activities in accordance with the Budget.]

As noted in relation to clause 12.1, you will also need to ensure that any 'Assets' are identified here in the Budget so that the Grant Recipient is permitted to use the Grant to purchase such Assets. If Assets are not included here, the Recipient will not be permitted under the Conditions of Grant to use the funding to purchase such items.]

2. Subject to these Conditions of Grant, the Commonwealth will pay the Grant Funds to the Recipient in the instalments set out in Table 2 below on achievement of the corresponding Milestone.

Table 2 - Payments

Milestone	Due date	Instalment
[*insert milestone]	*[*insert due date]*	*[*insert instalment amount]*
TOTAL		*[*insert total]*

[Note to drafters – An example of a payment Schedule is set out above. You should ensure that the payment Milestones are consistent with any corresponding dates for Activities to be achieved as set out in the Project Milestones in Schedule 1. The payment milestones do not have to correspond with every Activity Milestone set out in Schedule 1, that is, you do not need to have a corresponding payment for every Activity Milestone. While you should seek to ensure that payment milestones support the grant recipient's requirements for use of the funding, the most

important factor is ensuring that any milestone payment arrangement represents an efficient, effective, ethical and economical use of Commonwealth funds.]