

2015

INNOVATION AND DEVELOPMENT GRANTS

Programme information and application
instructions

Version 1.0

Updated August 2014

Closing dates:

Round 1: Friday 28 November 2014
(full proposals and EOIs **only**)

Round 2: Monday 22 June 2015

(full proposals from successful round 1 EOIs and Seed Projects **only**)

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1 INTRODUCTION

1.1 The Promotion of Excellence in Learning and Teaching in Higher Education

The Australian Government has committed \$57.1 million in programme funding over four years towards the Promotion of Excellence in Learning and Teaching in Higher Education (PELTHE). PELTHE is administered by the Office for Learning and Teaching (OLT) in the Department of Education.

The PELTHE programme consists of a suite of grants, fellowships, awards and networks.

In 2015, \$8 million (indicative) has been allocated to the grants programme under PELTHE. The grants programme comprises Seed Grants, Innovation and Development Grants, Extension Grants, and Strategic Priority Commissioned Grants.

This document provides programme information and application instructions for Innovation and Development Grants, including expressions of interest (EOIs) to develop full proposals.

1.2 Aim

The aim of the Grants programme is to provide funding for academics and professional staff to investigate, discover, develop and implement innovations in learning and teaching. Grants facilitate scholarship and research into learning and teaching, and promote systemic change in the sector. They play an important role in providing esteem for learning and teaching scholarship and practice.

Brief information against each grant type is provided below. Full details, including programme information and application instructions, are available on the [Grants section](#) of the website.

1.2.1 Seed Grants

Seed Grants support pilot projects which test and evaluate an original idea, or stand-alone, small-scale project, or projects which build the capacity of early career academics. ('Early career academic' is defined in the Seed Grants application instructions). Applications can address any of the priorities for Innovation and Development Grants.

Closing dates: Round 1: applications for seed grants will not be accepted in this round.

Round 2: applications received via the online Grants Portal, no later than 5pm (AEST/AEDT), Monday 22 June 2015

Funding: \$600,000 (indicative), up to \$40,000 per seed grant

1.2.2 Innovation and Development Grants

Innovation and Development Grants support research, development and innovation related to the enhancement of learning and teaching in higher education. The applications can address a wide range of priority areas, including academic standards, the contemporary PhD, and improving access and outcomes for Aboriginal and Torres Strait Islander people in higher education.

Closing dates: Round 1: expressions of interest and full proposals, received via the online Grants Portal, no later than 5pm (AEST/AEDT), Friday 28 November 2014

Round 2: is only open to full proposals invited from successful expressions of interest in round 1 and Seed Projects. These proposals must be received via the online Grants Portal, no later than 5pm (AEST/AEDT), Monday 22 June 2015

Funding: \$5.5 million (indicative), between \$40,000 and \$500,000 per Innovation and Development grant

1.2.3 Extension Grants

Extension Grants support further adaptation and adoption of completed learning and teaching projects and fellowships. Applications for extension grants are concise.

Closing date: Closing dates for Extension Grants for 2015 will be announced in late 2014

Funding: \$400,000 (indicative)

1.2.4 Strategic Priority Commissioned Grants

Through Strategic Priority Grants, the OLT will commission work to address particular issues and to respond to Government priorities.

Project briefs, application information, which may vary from that of the general biannual funding rounds, and closing dates, will be advised in 2015.

Funding: \$1,500,000 (indicative)

1.3 Roles and responsibilities

Office for Learning and Teaching

In relation to the Grants programme, the OLT is responsible for preparing the information and application instructions, the receipt and collation of all grant applications, selection of assessors and for providing secretariat support to the Grants Standing Committee.

Assessors

Assessors selected by the OLT will assess all applications against the information and selection criteria in these instructions.

Grants Standing Committee

The Grants Standing Committee will consider applications and assessors' advice against these instructions and selection criteria and make recommendations to the Strategic Advisory Committee.

Strategic Advisory Committee

The Strategic Advisory Committee will make recommendations to the Australian Government Minister responsible for higher education, based on the recommendations of the Standing Committee.

Australian Government Minister responsible for higher education

The Australian Government Minister responsible for higher education has final decision making authority in relation to OLT grants. Decisions will be made based on advice from the Strategic Advisory Committee and the Minister retains the discretion not to award grants.

Refer [Appendix 1](#) for further information on the assessment and approval process for grants.

2 INNOVATION AND DEVELOPMENT GRANTS PROGRAMME

The Innovation and Development Grants Programme is one of the OLT's major grants programmes. This section provides information on programme objectives, rounds, requirements and other general guidance.

2.1 Programme objectives

Innovation and Development grants have the following objectives:

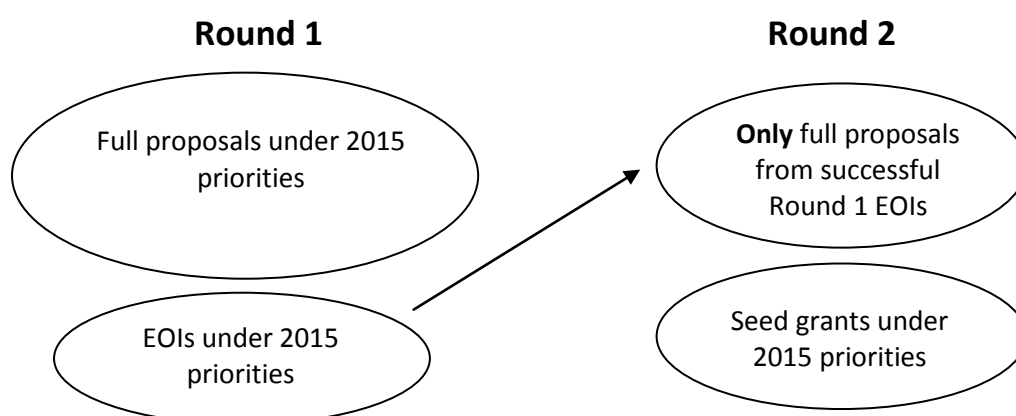
- promote and support strategic change in higher education institutions for the enhancement of learning and teaching, and the benefit of the student experience
- raise the profile and encourage recognition of the fundamental importance of teaching in higher education institutions and in the general community
- develop effective mechanisms for the identification, development, dissemination and embedding of good individual and institutional practice in learning and teaching in Australian higher education
- develop and support reciprocal national and international arrangements for the purpose of sharing and benchmarking learning and teaching processes
- develop and enhance a deep understanding and knowledge of the learning process appropriate to the disciplines being taught
- build leadership capacity in ways that promote and advance learning and teaching in Australian higher education.

2.2 Types of applications accepted in 2015

There are two rounds of applications in 2015 and what may be submitted in each round is depicted in Figure 1.

In round one, applicants may submit either a full proposal or an EOI under any one of the priorities listed in section 5. In round two, only applicants who submitted successful EOIs in round 1 will be invited to submit full proposals. Applications for seed grants will only be accepted in round 2. Application instructions for seed grants are provided in a separate document on the OLT website.

Figure 1: Grant Rounds in 2015



2.3 Grants building on completed OLT and other relevant projects

Projects that build on or extend previous OLT work and other relevant work are encouraged.

Applicants should not assume that assessors or OLT Grants Standing Committee members are familiar with the previous work and should ensure that they sufficiently describe this previous work in their application.

Applicants are also advised to make a strong case for why additional OLT funding is required rather than seeking funding from the institution or other sources.

Applications building on a completed Innovation and Development grant project will only be accepted if the final report has been available to the sector, via the OLT website, at least ten weeks before applications close. Where the original team is proposing to carry work forward, they are strongly encouraged to include new partner institutions and team members.

Applications building on completed seed projects will only be accepted if the seed project is nearing completion. The OLT defines “nearing completion” as meaning that the final report for the current project is due to be submitted to the OLT no later than two weeks after the closing date for the new grant application.

2.4 Resubmitting past applications

All OLT applications should be innovative and respond to a current topic of interest. They should not be a simple resubmission of a previous application with minor edits.

Applications that have been unsuccessful in previous OLT grant rounds should not be resubmitted without clear consideration and justification of a new need for the work or a significantly revised proposal, taking into account assessors’ comments on the previous application that justifies re-assessment.

2.5 Eligibility

Under the Australian Government Other Grant Guidelines, institutions listed in Table A and Table B of the *Higher Education Support Act (2003)* and higher education providers which receive a grant under the part 2.2 – Commonwealth Grants Scheme of the Act are eligible to apply for grants. Refer to the OLT website for a list of eligible institutions.

A staff member at any level and of any employment status from an eligible institution may apply for a grant or be a team member of a project if the university is willing to support that person as a staff member. Students may also be included on project teams.

2.6 Compliance

The OLT reserves the right to ask for a proposal to be modified and/or re-submitted for decision, and not to receipt an application which does not comply with these instructions.

Select only the most appropriate grant type for your proposed project. For example, submitting a seed grant application and an EOI for the same project, or a very similar project, will result in both applications being cancelled.

2.7 Obligations associated with receiving a grant

There are a number of obligations associated with receiving a grant. These are specified in a funding agreement. Applicants should be familiar with the obligations of grant holders when considering applying for and in the design of their grant proposal. Details of these are provided at [Appendix 2](#).

2.8 Intellectual property

All applications and project materials become the property of the Australian Government on submission to the OLT. This supports greater impact of grant funding by ensuring project outputs and outcomes are available to the higher education sector for use and further development. Details on intellectual property are provided at [Appendix 3](#).

2.9 Privacy and Confidentiality information

The OLT through the Department of Education (the department) must comply with the Australian Privacy Principles ('APPs') contained in the Privacy Act 1988 (Cth) (Privacy Act) when handling all personal information provided for nomination purposes.

For information about the department's privacy policy, including information on how personal information is handled, how to access or correct personal information, or how to make a complaint, please go to <http://education.gov.au/privacy>, or request a copy of the privacy policy from privacy@education.gov.au.

In accordance with the APPs, application forms for this scheme will include details of:

- the purposes for which the OLT will collect personal information
- how the OLT will use the information
- any person, body or agency to whom the OLT may disclose information and for what purpose

It is important that all bodies and persons involved in the grant application are aware of these arrangements.

2.10 Programme information review

The Grants programme information and application instructions are reviewed annually.

2.11 Round 1 closing date, 2016

The closing date for round 1, 2016, is estimated to be in November 2015. Programme information will be available in August 2015.

3 INNOVATION AND DEVELOPMENT GRANTS PROGRAMME - EXPRESSIONS OF INTEREST

EOIs are accepted in round 1 2015. EOIs allow applicants to test an idea for a full proposal. EOIs do not require the level of detail that full proposals do. They also allow the OLT to provide early feedback to applicants that can be taken into consideration when developing a full proposal.

If an EOI is successful, the applicant will be invited to submit a full proposal in round 2 of the same year. A successful EOI however is not a guarantee of funding. A full proposal is still required and will be assessed on a competitive basis under the OLT's usual assessment process.

3.1 Directions for Applicants

- EOIs should address one of the priority areas of the 2015 Innovation and Development Grants programme, as outlined in section 4.
- EOIs should be no more than five pages, including references (exclusive of the online application form)
- EOIs should address the following criteria:
 - the rationale and readiness for the project, particularly in relation to the context and characteristics of the institution(s) involved
 - the approach the project will take, including timeframes
 - the deliverables or outputs of the project
 - the projected impact of the project (for information about impact, see [Appendix 6](#))
 - the proposed project leader(s) and key members of the project team.

3.2 EOI format for submission

Applications consist of two parts:

- the online application form
- the EOI

The online application form is to be completed online directly in the [OLT Grants Portal](#). The EOI, in the form of a PDF document, will form the attachment to the online application form.

EOIs must have the endorsement of the DVC (Academic), or equivalent, of the lead institution. The name of the endorsing DVC (Academic), or equivalent, is required on the online application form but an actual letter of endorsement is not required at the EOI stage. Letters of endorsement from partner institutions are also not required at the EOI stage.

Full budgets are not required in EOIs. Please enter '0' in the Amount field if submitting an EOI.

Please refer to section 6 for information about the OLT Grants Portal.

4 INNOVATION AND DEVELOPMENT GRANTS PROGRAMME - CRITERIA

4.1 Criteria to be addressed in applications

Applications for funding need to address the following criteria:

- A. Project rationale and sector readiness**
- B. Project outputs (or deliverables)**
- C. Project impact**
- D. Project approach**
- E. Project team and governance**
- F. Project budget**
- G. Project evaluation**

All criteria need to be addressed under separate headings in the application.

A. Project rationale and sector readiness

Applications need to clearly identify:

- how the project will address one of the programme priorities (Section 5) and contribute to the enhancement of learning and teaching in higher education in relation to that priority
- usefulness of and readiness for the project and its outcomes to:
 - the sector as a whole
 - particular kinds of institutions across the sector
 - particular segments of institutions across the sector
- readiness for the project in terms of the ways in which it utilises and advances existing national and international knowledge relevant to the programme priority. Applications must highlight relevant completed OLT work taken into consideration when developing the application. In particular, applicants are encouraged to look to the Good Practice Reports which aggregate completed projects in various thematic areas
- how the project will build on a strong theoretical framework that is grounded in the literature.

B. Project outputs (or deliverables)

Applications need to clearly identify:

- the proposed outputs for the project. The project outputs (or deliverables) should be realistic in respect of the proposed timeframe and project resourcing

- what is in the scope of the project, compared to what is not in scope
- any assumptions made in delivering the outputs of the project, and where they are significant, when and how the accuracy of the assumptions may be verified to reduce risk to the project (eg assumptions around significant participant involvement in project activities).

Applicants are advised to build sustainability of the outputs of their proposed project into its design, without the need for further OLT funding after completion of the project.

C. Project Impact

All Innovation and Development Grants are required to project and plan for positive and substantial impact (changes and benefits) for students, staff, institutions and the higher education sector, as appropriate to the scale and scope of the project.

The application should clearly identify:

- the plan for achieving impact. An impact plan that is based on the Impact Management Planning and Evaluation Ladder (IMPEL) framework needs to be submitted as part of the application. As per the IMPEL framework, the plan will include a completed matrix and responses to key questions. Please refer [Appendix 6](#) for guidance on preparing the impact plan.
- a strong dissemination strategy, as one mechanism to achieve impact, that is multi-faceted and includes a range of dissemination activities and events (for example: publications; a website; forum, symposium, conference or roundtable; resources, including a handbook, framework or best practice principles; and videos, flyers and glossy publications)
- the project team's ability to bring about the identified outcomes and planned impact.

You can access further information and useful links on impact on the OLT website

<http://www.olt.gov.au/impact>.

D. Project approach

The application should clearly identify:

- an approach to completing the project on-time and within budget which is considered coherent and appropriate to the outputs and impact the project is designed to achieve
- any project stages, major tasks or activities, milestones, and any associated outputs
- a timeline for the approach that shows project stages as well as any dependencies between stages and tasks
- a feasible plan for achieving impact, expressed throughout the project tasks.

The timeline should assume that the project will begin on 1 August 2015 or 1 February 2016 depending on which round the application is submitted in. Successful round 1, 2015 grants will commence in August 2015 and successful round 2, 2015 grants will commence in February 2016. Project duration for Innovation and Development grants is normally two years, but can be three years for large projects

Timelines need to recognise the lead-up time required for larger, more complex projects or those with a number of partners. For example, putting in place relevant inter-institutional agreements and obtaining ethics approval can take some months.

E. Project team and governance

The application should clearly identify:

- the roles and responsibilities of proposed project team members, as well as reference group members, in relation to delivering the project. A diagrammatic depiction of project governance is encouraged.
- demonstrated capability (skills and experience) and capacity (time) of the project team to deliver on the proposed scale and scope of the project (NB: the quality and timeliness of the project leader's previous work funded by the OLT or predecessor bodies will be taken into account when considering applications for funding).

Collaboration between higher education institutions (university and non-university) and/or relevant other bodies is strongly encouraged. All applications are expected to include partner institutions. Further information about what is required in relation to project governance is contained in [Appendix 7](#).

F. Project budget

The application should clearly identify and justify:

- all expenses associated with the project, broken down as per the budget template, and where there are other funding sources, what they are proposed to cover
- a budget that is appropriate to the project outputs, timeframe, scale and scope, noting that funding for Innovation and Development grants is between \$40,000 and \$500,000. Applications for funding over \$350,000 are expected to propose significant projects that show a well-developed strategy for achieving national systemic impact and that involve partnerships with relevant higher education institutions, accreditation bodies and/or councils of deans who are representative of those able to facilitate the planned impact.

Further information about what is required in relation to the proposed project budget, including the budget template, is contained in [Appendix 8](#).

G. Project evaluation

All Innovation and Development Grants with funding over \$120,000 are required to engage an independent external evaluator. A good evaluator helps to keep a project on track, anticipate and manage around issues, establish the impact of a project and reflect on its success.

Applications should clearly identify:

- an evaluation strategy that is aligned to the scale, scope and timeframe for the project. Larger and longer projects would be expected to undertake both formative and summative evaluation
- how the evaluation will contribute to establishing the impact of the project, and its value to other higher education institutions.

The [Grants Programmes - Evaluating Projects](#) resource developed by Paul Chesterton and Rick Cummings provides guidance and assistance with project evaluation to individuals and groups submitting proposals for funding under the OLT's Grants programme. The guidance is in the nature of background information on what project evaluation is and what constitutes good practice in the evaluation of learning and teaching projects.

Projects with funding under \$120,000 are also encouraged to undertake an evaluation during and/or at the end of the project, but are not required to submit an external evaluator's report.

5 INNOVATION AND DEVELOPMENT GRANTS - PROGRAMME PRIORITIES 2015

As per selection criteria 1 - Project rationale and sector readiness (refer Section 4), all applications need to address one (or more) of the following priority areas:

- Academic standards
- Assessing equivalence of qualifications and learning outcomes
- Assessment and promotion of student learning (on selected topics)
- Curriculum design (on selected topics)
- Employability skills
- Improving institutional pathways across higher education
- Improving access to and outcomes in higher education for Aboriginal and Torres Strait Islander people
- The contemporary PhD

These priorities apply to both full proposals and EOIs in 2015.

Academic standards

Applications under this priority area should be collaborative, strategic projects that complement the most recent work undertaken by the Higher Education Standards Panel (HESP) and the HESP Research Fellow, taking into account the operations and requirements of the Tertiary Education Quality and Standards Agency (TEQSA).

Projects should also take into consideration the outcomes of the Learning and Teaching Academic Standards (LTAS) project www.olt.gov.au/resource-library?text=Learning+and+Teaching+Academic+Standards, and other OLT projects that extended these LTAS projects.

Assessing equivalence of qualifications and learning outcomes

Applications under this priority area should address key issues such as:

- the quality of learning outcomes in a changing higher education environment
- measuring equivalence of learning outcomes, including assessment for Recognition of Prior Learning (RPL)
- equivalence of qualifications and learning outcomes:
 - across different types of higher education institutions
 - across modes of delivery
 - across different disciplines
 - at different qualification levels.
- the relationship between identifiable learning outcomes and the cost of higher education
- different approaches to recognising learning outcomes and achievements (for example 'badges' and modules)

Projects should take into consideration the most recent work undertaken by HESP, the HESP Research Fellow and TEQSA's operations and requirements. Projects should also take into consideration previously completed OLT work on learning outcomes.

Assessment and promotion of student learning

Applications under this priority area should focus on assessment issues across institutions. Projects should take into consideration previously completed OLT projects and the most recent work on assessment.

Applications that focus on redesigning assessment for individual disciplines at individual institutions will not be accepted in 2015.

Curriculum design

Curriculum design is a well-covered area for past OLT grants. In 2015, the OLT will only consider funding curriculum projects that propose to address a demonstrably underexplored curriculum issue or area.

Applications should have broad national scope and should be of value to a significant number of higher education institutions. Applications that focus on redesigning curriculum only for the benefit an individual institution will not be accepted in 2015.

Applications should take into consideration previously completed OLT work on curriculum design.

Employability skills

Applications under this priority area should be national, collaborative projects across higher education institutions, industry, and professional bodies.

Applications should address key issues such as:

- the distinctiveness of Australian higher education institutions in preparing graduates to be globally employable
- pedagogical approaches that appropriately blend academic and practical learning experiences, delivering learning outcomes that see students prepared for work with the right mix of practical and theoretical/academic skills
- building reciprocal and collaborative relationships between employer, industry and professional bodies and institutions
- the relationship between good-practice learning and teaching processes, learning outcomes and employability
- the role of higher education institutions in preparing the graduates of the future for employment, and how to embed this in the curriculum
- curriculum design and assessment for work-ready graduates.

Projects should take into consideration the topics of the 2013 OLT Strategic Commissioned Projects on Graduate Employability www.olt.gov.au/system/files/2013_Strategic_Commissioned_Projects.pdf, and work undertaken by the B20 Human Capital Taskforce Report www.b20australia.info/Pages/humancapital.aspx, and associated entities.

Improving institutional pathways across higher education

Applications should propose to develop and model strategies for one or more of the following:

- inter-institutional and cooperative partnerships between all types of institutions at the tertiary level, including through tailored learning that best meets students' needs now and connects students with the learning needs of tomorrow
- maximising successful transitions between different types of tertiary providers
- better transitions between the vocational education and training sector and the higher education sector
- developing and modelling programmes that work with schools to improve participation in higher education
- pathways to professional qualifications, to doctoral qualifications, or to other postgraduate study, or research pathways.

Improving access to and outcomes in higher education for Aboriginal and Torres Strait Islander people

Applications should propose projects which respond to the relevant recommendations of the [Review of Higher Education Access and Outcomes for Aboriginal and Torres Strait Islander People](#) (2012).

Projects should also take into consideration other relevant OLT projects and fellowships.

The contemporary PhD

Applications under this priority area should be developed in consultation with the appropriate senior University leaders responsible for Graduate Research such as Deputy Vice-Chancellors (Research) and (Academic), Pro Vice-Chancellors Research/Research Training, or with Deans/Directors of Graduate Studies, and should address key issues, such as:

- the effectiveness of the Australian PhD in preparing graduates for careers in business, government, education and other industries outside academia (e.g. optimum scale of PhD integration with industry to maximise innovation potential; preparedness for leadership; value of generic versus specialist capabilities; employment outcomes and employer attitudes; graduate perceptions of investment in PhD)
- the role of the PhD in preparing the academic workforce of the future, particularly for higher education teaching (e.g. breadth of disciplinary and interdisciplinary knowledge; pedagogical content knowledge; professional development as an educator).

Comparative studies of good practice in different settings/fields/programmes are welcomed. For example: Science, technology, engineering, and mathematics (STEM) as compared to Humanities and Social Science (HASS); or programmes which are heavily specialised, as compared to those whose students feed a broad range of post-doctoral roles or doctoral work, as compared to those whose students are normally mature-age and already established in their professional/industrial communities (e.g. in Education faculties). Studies that consider the diversity of contemporary PhD programmes, such as professional PhDs, EdDs or more traditional research PhDs, are also welcomed.

Applications should take into consideration:

- the topics and outcomes of the 2012 OLT Strategic Commissioned Projects on the topic of Professionalisation of the Academic Workforce
www.olt.gov.au/system/files/2012_Commissioned_Projects_Summary.pdf
- the work of OLT Academic Seconded Professor Belinda Probert for the OLT, including the forthcoming paper on the role of the PhD www.olt.gov.au/secondment-probert
- *Initiatives to Enhance the Professional Development of Research Students* and other associated work, accessible via www.education.gov.au/research-training and www.industry.gov.au/research/ResearchWorkforceIssues/Pages/
- Council of Deans and Directors of Graduate Research (DDoGs) Good Practice Principles for Graduate Research.

6 APPLICATION INFORMATION

6.1 Application instructions

Applications for full proposals and EOIs will consist of two parts:

- the online application form
- the full proposal or EOI, including associated appendices

The application form is to be completed online directly in the OLT Grants Portal. The proposal or EOI, in the form of a PDF document, will form the attachment to the Application Form.

Applicants are strongly advised to use the Applicant Checklist below to review the application prior to submission but are not required to submit the actual checklist.

6.2 Full proposal format for submission

Full proposals are limited to 20 A4 pages and need to address all criteria outlined in section 4.

This does not include appendices (refer below). The Font used should be 12 pt Arial or Calibri.

All parts of the proposal (including the appendices) need to be combined into one PDF file. Please use appropriate software such as Adobe Professional, rather than a scanner.

OLT recommends that margins are not too narrow to allow for printing. Applications that exceed the specified page limits will have additional pages removed without consideration of content.

Appendices to the full proposal include:

- a letter of endorsement from the DVC (Academic), or equivalent, of lead and partner institutions (for collaborative projects). See [Appendix 5](#) for proformas
- additional letters of support from accrediting bodies/Councils of Deans can also be included. Additional institutional letters (ie Head of School/Supervisors) are not required
- biographies for the project leader and each of the team members, including involvement in relevant OLT/ALTC projects (limit of one A4 page per person)
- design specifications. Applications which propose technological developments must submit design specifications (limit one A4 page) with the following details:
 - the functionality of the proposed development (including, in the case of website development, a description of the user interface and any user scenario)
 - the sustainability of the development
 - the scalability of the development
 - the technical expertise available to the project team
 - the availability of any required technology or infrastructure

Note that websites developed as part of any OLT grant need to be kept live and updated for at least five years after completion of the grant project.

Applications proposing software development should aim to develop open source software

6.3 Submission and Deadlines

Applications must be received by **5:00pm (AEST/AEDT)** on the closing date. An application that does not meet the deadline for submission may not be considered. If you experience a problem in submitting your application through the online system, please contact Grants Programme staff on (02) 6240 0625 well before the due date. In the absence of prior contact and discussion with Grants Programme staff, the inability to submit the application through the OLT Grants Portal will not be considered a valid reason for a late application.

Applications that have been sent by email will not be accepted.

6.4 Preparing to apply

Requests for applications may be advertised in the Higher Education Supplement of *The Australian, Campus Review* and through Institutional Contact Officers (ICOs). Relevant details will be available on the [Grants](#) section of the OLT website.

Institutions are encouraged to support applicants in preparing their applications.

Applicants **must** notify their ICO of their intention to submit an application (either full proposal or EOI), and the ICO must in turn notify the OLT. If the OLT has not been advised by the ICO to expect a particular application, that application may not be receipted by the OLT. The template list for ICOs to submit to the OLT is also available on the [website](#).

The OLT publishes a [list of ICOs](#) on its website.

6.5 Submitting an application through the OLT Grants Portal

Applications must be lodged via the [OLT Grants Portal](#).

The Grants Portal can be accessed from the [Grants](#) section of the OLT website.

Please note that if you have pop-ups blocked on your system, for example by Google Toolbar, this may limit access to the Application Form. If you experience difficulties with the system, you may need to allow pop-ups to proceed with your application.

It is recommended that you use Mozilla Firefox version 3 or above or Internet Explorer version 7 or above. Internet Explorer 6 is no longer supported.

The first view of the OLT Grant Portal (Figure 2) gives you the option to submit a new application, or resume a previous application. Please note that some institutions undertake centralised submission of applications and you should communicate with your ICO to ascertain your institutional procedures.

Figure 2 Grants Portal Login

The screenshot shows the Grants Portal interface. At the top is a navigation bar with links: About, Awards, Fellowships and Secondments, Grants and Projects, Networks, and Resource Library. Below this, the page is split into two columns. The left column is for login, with a heading 'Login to your Grants Online Portal or Resume an Application Draft'. It contains fields for 'Application Reference Number' (with a hint to enter the ALTC Grant Application Reference Number) and 'Password'. A 'Log in' button is at the bottom of this section. The right column is for applying for a new grant, with a heading 'Apply for a new grant'. It includes a prompt to enter details to get started, followed by fields for 'Project Title', 'Institution' (a dropdown menu), 'Program' (a dropdown menu), 'Project Leader' (with a 'Title' dropdown menu currently set to 'Mr'), 'First Name', 'Surname', and 'Email'. An 'Apply now' button is at the bottom of this section. Asterisks (*) indicate mandatory fields.

Submitting a new application for the first time

If you have not previously been allocated a reference number and are commencing a new application, please ensure you have the project leader's contact details on hand as these are required in order to save and resume the application at a later date. As shown on the right-hand side of Figure 2, mandatory fields are marked with an asterisk.

The application will be created once the Apply now button has been selected and the reference number and password will be displayed at the top of the page (Figure 3) within the status message. The reference number and password are only displayed when the application is first created and you must make note of these details and store the information for future use. We recommend you print a copy of this page or save a screenshot. Note: these details will not be emailed to you.

Figure 3: Creating an application

The screenshot shows the 'Apply for Grant' status page. The title is 'Apply for Grant'. Below it, a 'STATUS' section contains the following text: 'Thank you for pre-filling a draft application TRACEY TEST_screenshots for guidelines_Jun13' to the innovation & Development program. Please continue filling in the application here, and click Save to save your progress. You can resume and submit this application via our online portal at <http://www.olt.gov.au/grants/apply>. Your application reference number is: ID13-3248. Your password is: B8zkobVp. Please keep these details in a safe place as you will need them again.' A yellow callout bubble points to the reference number and password, containing the text: 'Login details are displayed here when an application is first created'.

Accessing a DRAFT version of an application that already exists in the system

If you have previously created an application and saved the reference number and password, you will be able to resume your application using the fields on the left side of the Grants Portal (Figure 2).

Providing additional information for an application that has already been submitted

Once an application has been submitted, you will no longer be able to amend the content of the online form. Please ensure you provide the correct information and attachments prior to submission.

Submitting a full proposal based on a successful round 1 EOI

If you are submitting a full proposal based on a successful round 1 EOI, you will need to do so through the original EOI online application form. Please log on with the original EOI application number and password, and then amend the EOI application to reflect the full proposal. Please be in touch with the OLT if you have forgotten the application number or password.

Completing the online application form on the OLT Grants Portal

The first part of the application form (Figure 4) is for all the grant application details and files.

Figure 4: Grant Information form (Part 1)

1. Grant Information 2. Grant People 3. Terms & Conditions 4. Review/Submit

Project Title: *

Institution: *

- None -

Program: *

- None -

Amount (ex GST): *

AUS

Team Agreement: *

☐ No ☐ Yes

Are all team members in agreement with this proposal? See Section 4.10 in the Program Guidelines.

Are you currently involved in any ALTC funded projects? *

☐ No ☐ Yes

Does this application build on a previous ALTC project? *

☐ No ☐ Yes

Partner Institutions:

[Add more partners](#)

Endorsed by: *

Aims: * **Abstract:** * **Keywords:** *

↓

Words: 0 Maximum: 60 Minimum: 1

Discipline: *

Agriculture, environmental and related studies
Architecture and building
Creative arts
Education
Engineering and related technologies

Application Documents: *

[Browse...](#) [Upload](#)

Maximum file size: 10 MB
Allowed extensions: jpg jpeg gif png txt doc docx xls xlsx pdf ppt pptx pps odt ods odp mp3 wma

[Browse...](#) [Upload](#)

Maximum file size: 10 MB
Allowed extensions: jpg jpeg gif png txt doc docx xls xlsx pdf ppt pptx pps odt ods odp mp3 wma

Upload supporting documents for your application here. You must upload at least one.

[Add another document](#)

[Previous step](#) [Next step](#) [Save Draft](#) [Submit Application](#)

The OLT has specific requirements for each of the key fields in this section, including:

Title:	Project names should be no more than 15 words long and should clearly and succinctly describe what the project will be doing. If the project is based in a discipline or field of study, this information must be included in the title. Do not use capitals except for proper nouns and the first word of the title. We recommend you limit the use of punctuation.
Programme:	Select the correct name of the programme under which the application is being submitted, i.e.: Innovation and Development. You will need to use the drop down list provided.
Priority Area:	Select the programme priority area being addressed by the application. Only one priority area can be selected and once selected, the text will be highlighted.
Amount:	State the amount of funding being requested from the OLT (i.e. not including any institutional contributions). The amount for EOIs should be \$0. Please do not add dollar signs, commas or decimal points.
Partner Institution/s:	List other higher education institutions and relevant other bodies who will be partners in the project. Agreement needs to have already been obtained from collaborating institutions. Please enter the institution's official name, not an abbreviation (ie The University of Sydney, not Sydney Uni; University of Canberra, not UC)
Endorsed By:	Specify the name and position of the DVC (Academic), or their equivalent, from the lead institution only (e.g. Professor Bob Smith, DVC (Academic). This is a mandatory field. Details should be added for only one person. Please do not add the names of the endorsees from partner institutions or any other additional information.
Aim:	Provide a succinct outline of what impacts the project has been designed to achieve (55 word limit) using simple language that avoids technical jargon. Please be careful if cutting and pasting from another document as the text will cut off at 55 words if you exceed the word limit. Please do not use dot points as this can corrupt the text once submitted.
Abstract:	Summarise the rationale/need for the project and what the project sets out to address/achieve (155 word limit). Please be careful if cutting and pasting from another document as the text will cut off at 155 words if you exceed the word limit. Please do not use dot points as this can corrupt the text once submitted.
Key Words:	To assist in analysis and web searches please list key descriptors/ search words (20 word limit). Please do not use initial capitals.

Discipline:	Using the drop-down list provided, select the discipline that most closely reflects the topic of your application. Applicants will only be able to select one option. If the proposed project is not discipline-specific, please select 'not disciplinary based'.
Are you currently involved in any projects funded by the OLT or its predecessors?	Select Yes or No. If Yes, please provide details in the text box including the OLT reference number (eg: PP8-123), project title and the nature of your involvement (eg: team member). In relation to this field, you are required to provide details of the time you are able to allocate to the project outlined in the application.
Does this application build on a project funded by the OLT or a predecessor body?	Select yes or no. If yes, please list the OLT project reference number and title in the text box provided. (Note: The proposal, under the heading of 'Rationale and sector readiness', will also need to outline relevant completed OLT work').

Select **Next step** at the bottom of the screen to continue.

Part 2 Grant People of the application form (Figure 5) is for applicants to provide the contact details of key personnel. Key personnel include the project leader, ICO, Promoting Excellence Initiative (PEI) leader, and team members.

The information required for each **contact** includes:

Name:	Enter the Title, First name and Surname. This is a mandatory field.
Email:	Enter the email address for each contact. Please ensure this is correct and delete any extra spaces. We suggest you do not copy-paste into this field. This is a mandatory field.
Phone Numbers:	Enter the two-digit area code followed by an eight-digit landline or a mobile number. This is a mandatory field for the project leader.
Address:	Please include the address in full, including office and building number. This is a mandatory field for the project leader.

Figure 5: Grant People form (Part 2)

1. Grant Information	2. Grant People	3. Terms & Conditions	4. Review/Submit
<div> <div> <div>✓ Edit Project Leader</div> <div>✓ Edit ICO</div> <div>Add / Edit PEI</div> <div>Add / Edit Project Manager</div> <div>Add / Edit Team Member</div> </div> <div> <div>First Name: *</div> <div></div> <div>Surname: *</div> <div></div> <div>Title: *</div> <div>- None -</div> <div>Email: *</div> <div></div> <div>Institution:</div> <div></div> <div>Phone:</div> <div></div> <div>Mobile:</div> <div></div> <div>Fax:</div> <div></div> <div>Add</div> <div>Cancel</div> <div>Delete</div> </div> </div>			
<div> <div>Previous step</div> <div>Next step</div> <div>Save Draft</div> <div>Submit Application</div> </div>			

A list of ICOs is available on the OLT website www.olt.gov.au/grants-and-projects/innovation-and-development. If you are unaware of the name of your PEI contact person, this field can be left blank.

On completing the first two parts of the application form, applicants are able to continue to **Terms & Conditions (Part 3)**, by selecting **Next step** at the bottom of the screen.

Attaching the full proposal or EOI on the OLT Grants Portal

You are required to attach a copy of the full proposal or EOI in Part 1, Grant Information (Figure 4). This attachment needs to include all relevant appendices.

Before attaching, please note that the file must be named according to the type, programme, institution, applicant, and year, that is:

- **Proposals: reference number_programme_institution_applicant_year**

For example: a proposal submitted to the 2015 Innovation and Development Grants Programme by an applicant from RMIT University with the surname Smith would be named

ID15-2222_prop_rmit_smith_15

- **EOIs: reference number_eoi_institution_applicant_year**

For example, an EOI submitted to the 2015 Innovation and Development Grants Programme by an applicant from Swinburne University of Technology with the surname Jones would be named

ID15-3333_eoi_swinburne_jones_15

If the computing programme you use does not support a document name of this length please abbreviate but retain the elements.

Once you select the upload option, the revised file name must be entered into the description field (Figure 6).

Figure 6: How to name attachments



Moving between pages, printing and amending fields may cause attached files to drop out. Please check that files are attached before saving to draft or submitting.

Once a document has been attached, you will no longer be able to view it.

Completing and Submitting an Application

Once the application form has been completed, applicants have the following options:

1. **Review an application**

Applicants are able to review the online information using the Previous Step option at the bottom of the application form. Please note that the attachment may be lost if you use this function. Therefore it is important that you check the attachment before submitting the application.

2. Save as a draft file

Applicants are able to save an application in draft format by selecting the Save Draft option on the application form. This will enable you to return at a later time to review and modify your application. It is advised that prior to submission, all applicants should save the application and contact the relevant office in their institution regarding institutional review and endorsement.

Applicants from institutions which require review and centralised submission of applications to the OLT should forward their reference and password to the relevant officer in their institution so that the application can be reviewed and endorsed.

3. Submit a completed application

Before submitting an application, applicants are strongly advised to review the material using the checklist available below.

Terms and Conditions:

All applicants are asked to acknowledge they have read the Privacy Terms and Conditions.

To indicate that you have read the Terms and Conditions, applicants are required to tick the box provided in Part 3 of the online application form.

Submission process:

Applicants are able to submit a completed application to the OLT by selecting the 'save and submit' option in Part 4 of the application form. Until an application is submitted using this button, the application has not been forwarded to the OLT and will not be received or assessed.

Once an application has been submitted a status message will appear, indicating your application has been submitted.

NOTE: if your computer screen remains on the application form and does not proceed to the status message, please check that all mandatory fields have been completed. A red error message will indicate the sections that are missing and the sections will also be highlighted red (Figure 7).

Figure 7: Difficulty submitting application

ERROR

- Priority Area field is required.
- Amount (ex GST) field is required.
- Aim field is required.
- You must [fill in Aim](#) before you can submit or save a draft.
- This content has been modified by another user, changes cannot be saved.

1. Grant Information 2. Grant People 3. Terms & Conditions 4. Review/Submit

Project Title: *
TRACEY TEST_screenshots for guidelines_Jun13

Institution: *
Australian Catholic University

Program: *
Innovation & Development

Priority Area: *
 Leadership capacity of Aboriginal and Torres Strait Islander people
 Academic standards
 Assessment and promotion of student learning
 Curriculum design
 Improving HE Outcomes for Aboriginal and Torres Strait Islander People
 Improving tertiary pathways
 Innovative use of technology

Amount (ex GST): *
AUS\$

Partner Institutions:

 Add more partners

Endorsed by: *
Professor T Tester, DVC (Academic)

Aim: * Abstract: * Keywords: *

↓

Within ten business days of the application being submitted, applicants will be sent a confirmation email. This email will confirm that your application has been received. As some systems treat automated mail as SPAM, please check your junk email for a receipt. If you do not receive the reference or email confirmation, please contact the OLT directly.

Please note that once an application is submitted, applicants will not be able to add any further attachments. Please ensure that all of the correct attachments are provided at the time of submission.

NOTE: It is important that you check your files are attached before you select the Save and Submit option.

6.6 Checklists

Before submitting an application to the OLT Innovation and Development Grants Programme, please use the checklist to review the following:

The online application form	
Grant Information	
If a full proposal, amount does not contain commas or decimal points (e.g. 250000)	<input type="checkbox"/>
If an EOI, 0 (zero) entered in Amount field	<input type="checkbox"/>
Correct programme, priority area and discipline selected	<input type="checkbox"/>
Aim (max 55 words); Abstract (max 155 words); Keywords (max 20 words)	<input type="checkbox"/>
If currently involved in any OLT-funded projects, reference of funded project and title provided accurately	<input type="checkbox"/>
If application builds directly on a previous OLT project, reference of funded project and	<input type="checkbox"/>

title provided accurately	
Institutional endorsement provided by lead institution's DVC (A) or equivalent; title, name and position provided clearly	<input type="checkbox"/>
Grant People	
Contact details have been provided for project leader, ICO, PEI and team members	<input type="checkbox"/>
Review/Submit	
Please submit the proposal and all appendices as one combined PDF file attachment. Check that the file is actually attached to the application before submitting.	<input type="checkbox"/>
Attachment is named according to the instructions	<input type="checkbox"/>
Formatting	
The application is written in 12pt font	<input type="checkbox"/>
Page lengths are within the limits specified in the application instructions	<input type="checkbox"/>
All shading is removed from tables and timelines. This must be done to ensure the documents print clearly for the assessors	<input type="checkbox"/>
Timeline	
The project commences on 1 August 2015 or 1 February 2016 (depending on the round in which funding is approved)	<input type="checkbox"/>
Project evaluation is included in the timeline (only applies if funding >\$120,000)	<input type="checkbox"/>
Budget (not required for EOI)	
Detailed budget is provided	<input type="checkbox"/>
The budget is staged (only applies if timeline is >12 months)	<input type="checkbox"/>
Personnel costs include level of appointment and hours per week or percentage of time	<input type="checkbox"/>
Salary on-costs are included (maximum of 28 percent)	<input type="checkbox"/>
All costs are in whole dollars and exclude GST	<input type="checkbox"/>
The figures listed as totals (sub-totals, stage totals, total budget) are correct	<input type="checkbox"/>
Attendance at OLT events (\$3,000) is included in the budget. This is a mandatory item to be claimed in the first year of the project	<input type="checkbox"/>
Sufficient funding is allocated to editing of final reports (maximum \$3,000)	<input type="checkbox"/>
The administration levy does not exceed 10 percent (to calculate, add all sub-totals and multiply by 10 percent)	<input type="checkbox"/>
Project evaluation included in the budget (only applies if funding >\$120,000)	<input type="checkbox"/>
Assets (e.g. computers, iPads etc) are NOT included in the budget	<input type="checkbox"/>
Institutional endorsement	
The lead institution's ICO has included the application on the list to be provided to the OLT	<input type="checkbox"/>
For full proposals, the DVC (Academic) letters of endorsement are attached from lead and all partner institutions. EOIs do not need to include actual letters of endorsement.	<input type="checkbox"/>
Endorsement letters use the mandatory proforma in Appendix 5 and specifically state how the project fits the institution's priorities	<input type="checkbox"/>

In summary, your application consists of and needs to include:

	<i>EOI</i>	<i>Full Proposal</i>
Online form	Yes	Yes
Application	Maximum five pages	Maximum 20 pages, and responding to all criteria as per section 4
Project impact plan	n/a, description of impact instead	Yes, within the 20-page limit
Budget	n/a	Yes, within the 20-page limit, and using the budget template (refer Appendix 8)
Timeline	n/a, indication of expected timeframe	Yes, within the 20-page limit
Bios and experience of team members including involvement in relevant OLT/ALTC projects	n/a	Yes, maximum one page per team member as appendix to the application
Design specs	n/a	If relevant, maximum one page, as appendix to the application
Letter of support from DVC (A) or equivalent at lead and partner institutions	n/a	Yes, maximum two pages per letter, as appendices to the application

7 CONTACT DETAILS

learningandteaching@education.gov.au

Phone: (02) 6240 0625

Fax: (02) 6267 4499

Street Address:

Level 10, 255 Elizabeth Street

SYDNEY NSW 2000

Mailing address:

GPO Box 9880

SYDNEY NSW 2001

Appendix 1: Assessment process

The assessment of applications involves a number of steps.

The first step involves the OLT:

- considering whether a proposal complies with the requirements set out in this document
- grouping applications according to priority areas
- assigning the proposal to at least two OLT assessors for review.

The second step involves the assessment of applications by the OLT assessors against the criteria set out in Section 4. Applications may also be moderated. Assessors meet to discuss their evaluations and make joint recommendations. Following the external assessment process, the OLT will rank each proposal relative to the others.

Assessments form the basis of recommendations to the OLT's Grants Standing Committee. An Assessment Report summarising the assessment process and the assessors' general comments as well as ratings on the applications will be provided to the Standing Committee for its consideration.

Selection of assessors

The OLT maintains a register of assessors. Assessors on the register have been specifically nominated by their institutions, usually by the Deputy Vice-Chancellor (Academic); have received citations or awards; are OLT Fellows, Discipline Scholars, project leaders or team members; or are senior, retired academics.

In selecting assessors, OLT staff will take into account discipline expertise, learning and teaching expertise, experience assessing applications or nominations and the potential professional development for the individuals and benefit to their institutions provided by their participation in the assessment exercise.

Strict conflict of interest provisions are enforced: no one may assess a proposal if they took part in its preparation; and, assessors do not assess proposals involving their own institution. All members of applicant teams are ineligible to participate in that round's assessments, and this principle is generally also applied to proposed members of reference groups. Assessors sign a conflict of interest declaration and a confidentiality agreement.

Notification of results of applications

Applicants will be advised of the results of their applications by email.

The Australian Government Minister responsible for higher education reserves the right to make the first public announcement of successful applications.

Appendix 2: Obligations associated with receiving a grant

Funding Agreement

Lead institutions will be required to enter into an agreement with the Commonwealth, managed by the OLT. If there is any inconsistency between an agreement and these instructions, the terms of the agreement will prevail. Where a proposal from a consortium is approved, the OLT will enter into an agreement with the lead institution only.

The conditions of the grant will be specified in the agreement. The agreement will specify the outcomes of the project to be achieved, the payment arrangements, conditions of the grant including financial and performance reporting requirements, requirements regarding variation to the agreement, acquittal of grants and other related issues. A model funding agreement can be found on the OLT website

<http://www.olt.gov.au/grants-and-projects/programmes-and-applications>.

Performance

The lead institution is responsible to the OLT for managing the performance of the project through the project leader(s). This responsibility is expressed through institutional sign-off on project proposals, funding agreements and performance reporting.

Should a project leader need to withdraw from the project, written notification should be provided to the OLT with information on how the project will continue to be supported by the lead institution.

Changes to collaborations, partnerships and other roles

Proposed changes in partner institutions, e.g. withdrawal or addition of a partner during the project, must be supported by the DVC (Academic), or equivalent, of the institution/s concerned and written notification of the change and endorsement provided to the OLT.

Reporting

Institutions are required to report on the progress, final outcomes and financial expenditure associated with their project, as specified in the funding agreement. Project leaders are strongly encouraged to ensure the DVC (Academic), or equivalent, is kept updated about project progress. Reporting requirements should be considered when formulating the proposal for the project.

When a project team is not able to meet the milestones or the date for completion of the project, the project leader must seek an extension in writing from the OLT at least one month before the due date. Please note that extensions are only approved in exceptional circumstances. If a project does not progress according to the projected timeframe, the OLT reserves the right to not grant extensions and to not make payments.

Progress Reporting

All projects with a duration that is longer than six months are required to complete progress reports at six-monthly intervals. Progress reports are succinct and are undertaken through a discussion with the OLT. Further information on progress reporting is available in the Project Management Information document on the OLT website www.olt.gov.au/grants-and-projects/project-management

Financial Reporting

Funding must be used for the purposes specified in the funding agreement. Financial reporting and acquittal processes provide assurance of this to the OLT.

For projects designed to go beyond twelve months' duration, a financial acquittal of first payment must be provided before the second payment can be made and on the provision the project is achieving satisfactory progress against its milestones.

A financial acquittal of first payment complying with the conditions in the funding agreement must be provided by the agreed completion date of the project (the date when all reporting and acquittal of funding should have been finalised).

The financial acquittal should itemise how funds were used in the course of the project and be signed as true and accurate by the authorised person within the lead institution as specified in the funding agreement and countersigned by the project leader.

Any funds not expended at the end of the project must be returned to the OLT. The OLT retains the right to reclaim funds if the recipient institution fails to fulfil the conditions of these instructions or the funding agreement or where an overpayment has occurred.

Final Project Report

Final reports should profile the outcomes and outputs of the project, highlighting the impact the project has had and can have in the future and describing how other institutions can make use of what has been delivered and achieved. The final report will also briefly document how the project outcomes have been achieved.

The final report should follow a 1:3:25 format. The final report will be published on the OLT website following the allocation of an ISBN. In brief, the three parts of the report are:

- Part one: the **achievements statement** (one page only). This is a stand-alone key-messages document, presenting the main outcomes and outputs of the project. The single page is designed to quickly and effectively communicate key points and resources from the project. Part 1 should be able to stand-alone from Parts 2 and 3 and may be distributed to promote and further disseminate project outcomes and outputs.
- Part two: the **executive summary** (maximum three pages) is used to summarise the issue/s and context for the project, its outputs, key findings, and recommendations for future action (where relevant). The information in this part should also be able to stand alone as a summary document of the project.
- Part three: the **narrative** (maximum 25 pages), is used to provide more detailed information about the project.

Instructions on inclusions for all parts of the final report are found in the Project Management Information document on the Grants section of the OLT website. Templates for final reports are also available on the [OLT website](#)

Project teams are required to budget and arrange for professional editing of all parts of the final report.

The OLT's written approval must be obtained prior to publishing any project reports required under the funding agreement. This provision does not limit the publishing of academic articles, conference papers or web materials as part of a project.

Appendix 3: Intellectual property

Project proposals

All applications become the property of the Australian Government on submission to the OLT to copy, modify or otherwise deal with information for the purposes of:

- assessment and decision-making
- verification of the accuracy, consistency and adequacy of the information contained in the application
- preparation and management of any funding agreement
- administration of OLT grants programme.

Project Material

One responsibility of the OLT is the dissemination of good practice in learning and teaching in higher education which is best achieved by ensuring that quality project products and findings are available to the higher education sector for use and further development. To help achieve this aim the following position in relation to intellectual property will be the default position for the OLT.

Intellectual Property Rights in the Project Material created under a Funding Agreement will vest immediately in the Commonwealth. The Department, the OLT, the lead institution, and the Project Partners will, as far as possible, provide the Project Material to the sector for use and adaptation using systems such as Creative Commons, Open Source or other appropriate developments.

The Commonwealth will grant to the recipient a permanent, irrevocable, royalty-free, non-exclusive licence to use, reproduce and adapt the Project Material and to sub-licence any of these rights to members of a consortium for the purpose of the project that is funded.

Issues associated with existing intellectual property are addressed in the funding agreement. A model funding agreement will be available at the Grants section of the OLT website.

A different position in relation to copyright and licensing may be considered if there is a strong argument that the default position explained above is not appropriate to a particular project. This argument will need to be presented as part of the project proposal and will need to demonstrate that the approach advocated will ensure that the products and findings of the project are available to the higher education sector for use and further development.

The grant recipient(s) will be required at all times to indemnify and hold harmless the Commonwealth, its officers, employees and agents from and against any loss or liability incurred or suffered by any of those indemnified arising from any claim, suit, demand, action or proceeding by any person in respect of any infringement, or alleged infringement, of Intellectual Property Rights by the grant recipient(s), their employees, agents or subcontractors in the course of, or incidental to, carrying out the project or the use by the Commonwealth of the Project Material.

Appendix 4: Key Web Links

The following documents may be found on the OLT website.

- Assessment reports (prior application rounds):
 - www.olt.gov.au/grants-and-projects/innovation-and-development
- Impact planning and dissemination
 - www.olt.gov.au/impact
 - www.olt.gov.au/dissemination
- Evaluation planning:
 - www.olt.gov.au/evaluation
- Managing your project: the project management document includes detailed information about project management, progress reporting and financial reporting
 - www.olt.gov.au/grants-and-projects/project-management

To search for previously funded projects, go to olt.gov.au/list-projects

To find OLT Good Practice reports, refer www.olt.gov.au/resource-library/good-practice-reports

Appendix 5: Proforma for letters of support

Proforma for lead institution

Endorsement letters must not exceed two pages.

The use of this proforma is mandatory.

Letter of support from the DVC (Academic) or equivalent must be on the institution's DVC(A)'s letterhead.

Letter from the lead institution must include the following:

- Title, name and position of the project leader(s) and team members from that institution (if any)
- Title of the application
- The aims of the project
- The intended impacts of the project, and their institutional relevance
- That the institution will support the time commitment of the project leader and team members from that institution (if any) as indicated in the budget

Certification by the DVC(A) or equivalent

I certify that the application:

- Meets the eligibility criteria as specified in the relevant 2015 programme and operational information, and application instructions
- Complies with the relevant 2015 programme and operational information, and application instructions and if the application is successful [name of lead institution] agrees to abide by the terms of the funding agreement
- [Name of lead institution] will notify OLT if there are any changes in the project leader's circumstances which may impact on his/her eligibility to participate in, or ability to perform, the project subsequent to the submission of this proposal

Signature(s) of DVC (A) or equivalent

Proforma for partner institution(s)

Endorsement letters must not exceed two pages.

The use of this proforma is mandatory.

Letter(s) of support from the DVC (Academic) or equivalent must be on the institution's DVC(A)'s letterhead.

Letter(s) from the partner institution(s) must include the following:

- Title, name and position of the project leader
- Title, name and position of team member(s) from that partner institution
- Title of the application
- The aims of the project
- The intended impacts of the project, and their institutional relevance
- The institution will support the time commitment of the team member(s) as indicated in the budget

Certification by the DVC(A) or equivalent

I certify that:

- If the application is successful [name of partner institution] agrees to abide by the terms of the funding agreement between the OLT and the lead institution
- [Name of partner institution] will notify OLT if there are any changes in the team member(s)' from the [Name of partner institution] circumstances which may impact on his/her eligibility to participate in, or ability to perform, the project subsequent to the submission of this proposal

Signature(s) of DVC (A) or equivalent

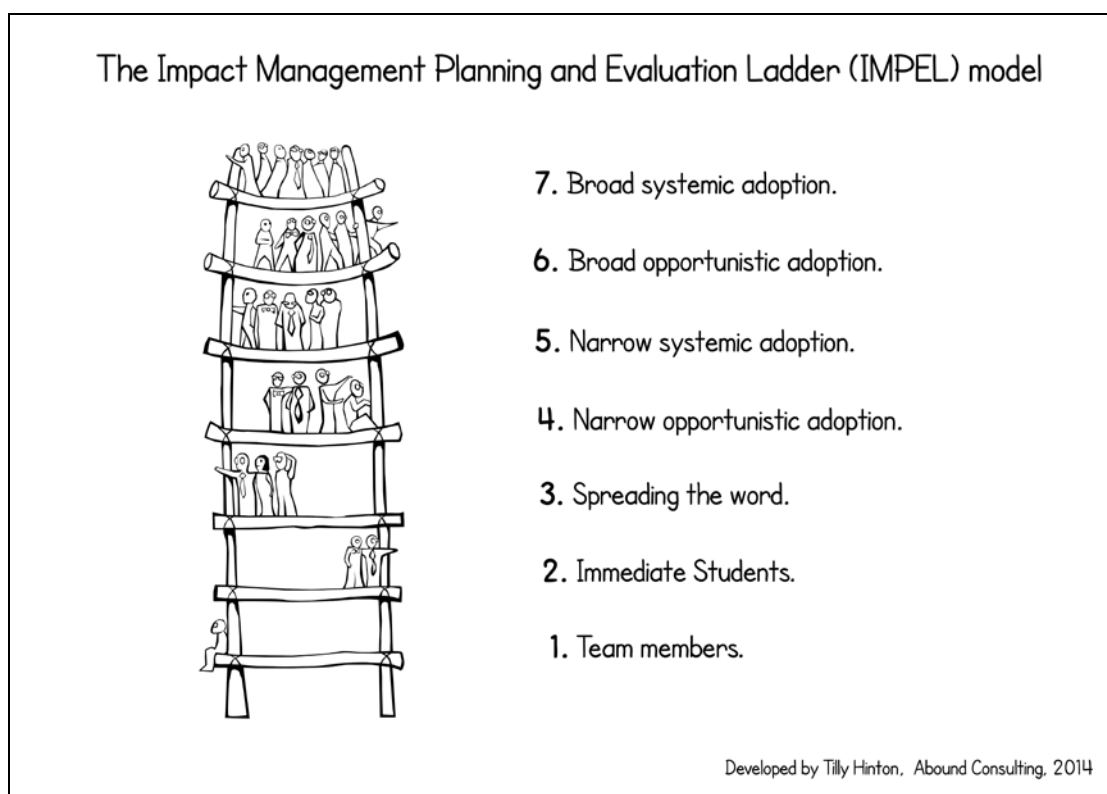
Appendix 6: Project impact planning

The Impact Management Planning and Evaluation Ladder (IMPEL)

The IMPEL model provides a framework for describing different types of change that can be achieved through educational development projects. Each stage, or ladder rung, is incrementally broader in impact than the last. These rungs are:

- (1) Changes for project team members
- (2) Changes by project team members leading to changes for students who are directly influenced
- (3) Contributions to knowledge in the field; growth or spread of disseminated ideas; serendipitous adoption/adaptation by people beyond the project's intended reach
- (4) Changes by opportunistic adopters at participating institutions leading to changes for students who are directly influenced
- (5) Systemic changes at participating institutions leading to changes for all relevant students
- (6) Changes by opportunistic adopters beyond participating institutions leading to changes for students who are directly influenced
- (7) Systemic changes beyond participating institutions leading to changes for all relevant students.

The model offers both a prompt for project teams in the planning, execution and reflection stages of educational development projects, as well as a cogent frame for funding agencies to enunciate expectations, make funding decisions and evaluate the efficacy of funding schemes in facilitating strategic educational change.



Project Impact Plan

Impact is the difference that a project makes in its sphere of influence, both during and after the funding period. Maximising impact requires forecasting and planning. The questions and matrix below provide a structure to prompt active and ongoing consideration and re-evaluation of impact and how it may be maximised given the evolution of the project. Maintaining updated responses to the template is not intended to be a reporting requirement, rather a strategic steering tool for the project. The responses to the questions below, including input to the matrix, are expected to change over the life of the project, as the work and results progress. The OLT will be interested in discussing evolving projections of impact at key points during the project, including at progress and final reporting points.

	Anticipated changes at: <i>NB: these are approximations & text is not expected in every cell</i>			
	Project completion	Six months post-completion	Twelve months post-completion	Twenty-four months post-completion
(1) Team members				
(2) Immediate students				
(3) Spreading the word				
(4) Narrow opportunistic adoption				
(5) Narrow systemic adoption				
(6) Broad opportunistic adoption				
(7) Broad systemic adoption				

1. What indicators exist that there is a climate of readiness for change in relation to your intended project?
2. In brief and indicatively, what impacts (changes and benefits) do you expect your project to bring about, at the following levels and stages of the Impact Management Planning and Evaluation Ladder (IMPEL)?¹
3. What are your strategies for engaging with stakeholders throughout the project?
4. How will you enable transfer² that is ensuring that your project remains impactful after the funding period?

¹ The full version of the IMPEL model, developed by Tilly Hinton whilst on secondment to the Office for Learning and Teaching, is online at www.olt.gov.au/impact. Further information on this model and resources to assist in considering project impact are also available on the website.

² Refer definition of 'transfer' above when used in this context

5. What barriers may exist to achieving change in your project?
6. How will you keep track of the project's impact? What analytics may be useful?
7. How will you maintain relevant project materials for others to access after the project is completed?

Appendix 7: Information about project team and governance

Project leaders and project teams

The project leader(s) must take significant intellectual responsibility for the proposed project, its design, conduct and results. This requires a serious time commitment (usually at least 20 percent of the leader's time).

Individuals may not hold the substantive responsibility (e.g. project leader/director/fellow) for more than two externally-funded learning and teaching grants concurrently unless the DVC (Academic) approves a greater commitment and provides details of how the time will be allocated to enable individuals to carry out their responsibilities to the projects. While this restriction does not apply to project team members, care should be taken by individuals not to over commit. If awarded a grant, the OLT expects each team member, including the leader, to be available to undertake the work as described in the application.

All Innovation and Development grant full proposals must include a letter of support from the DVC (Academic) from the lead and partner institutions for the project leader(s) and every team member. A template is provided in [Appendix 5](#). Letters of support must be included whether or not teaching relief or relief from normal duties has been requested from the OLT. Team members at partner institutions should check with their ICO about the process for obtaining a 'partner institution' letter of support.

Under normal circumstances, applications involving a project leader whose final report to a previous OLT project is overdue or not of a satisfactory standard at the time of close of applications will not be accepted. The Chair of the Standing Committee has the discretion to rule on this matter.

Project teams are encouraged to include one or two early career academics as substantive members of the project team.

All nominated project team members should be in agreement with the proposal at the time of submission. If it comes to the attention of OLT that nominated team members are not aware of the application, the proposal will be deemed ineligible for funding.

Please note, the OLT portal allows for one team leader only. If a project has shared leaders, this can be acknowledged in the original application but this will not be displayed on the portal. All names can be included in the abstract of successful projects published on the OLT's website.

Individuals may take an advisory role or contribute specific expertise which does not require close involvement in the project. These individuals would not normally be defined as project team members.

Reference Group

All project teams should appoint a reference group. A reference group will give you valuable feedback on project progress, and will often have a 'bigger picture' view, while project team members are closer to the details.

The reference group should include some external participants who have appropriate expertise to ensure there is constructive advice on conduct and direction of the project, and to ensure the project has maximum impact within the institution/s engaged in the project and beyond those institutions. The OLT may appoint a representative to the reference group.

An external participant is a person who is not a member of the project team. They do not need to be external to the participating universities.

In some cases, the OLT will determine that a reference group be appointed to either one or a number of projects designed to contribute to the same or similar outcomes. In this case, the OLT reserves the right to appoint reference group members.

The OLT understands that individuals serving in this capacity do so as part of their collegiate responsibility to the sector and the OLT. Project budgets should cover out-of-pocket expenses only.

The OLT also recognises that there will be occasions when payment for expert advice is appropriate and necessary. Applicants are advised to contact the OLT prior to the consideration of inclusion in the budget of fees for advice, consultancies or reference group members.

Collaborative Projects

Collaboration between higher education institutions and/or relevant other bodies is strongly encouraged. Applications from consortia will need to be submitted under a lead institution which must be a higher education institution eligible to receive a grant under the [Australian Government Other Grant Guidelines](#).

Careful consideration should be given to the number and type of partners and their contribution to ensure the project is manageable. The lead institution must ensure each named collaborating institution/organisation has agreed to have its name put forward as a collaborating institution before submitting a project proposal. Failure to ensure the agreement of named collaborating institutions/organisations may result in the application being rejected by the OLT.

The lead institution must be authorised to act on behalf of all members of the consortia or collaborative group, and enter into agreements which are binding on them. For the purposes of the application, all consortia members and the lead institution should be clearly identified.

Formal collaborations or partnerships must be acknowledged in documentation regarding the project. Collaborating institution(s) will contribute substantially to the project, usually through a project team member. Where partners are not represented on the project team, a clear rationale should be included in the proposal to explain this absence as well as their proposed contribution.

International partnerships are encouraged where appropriate. As with other members of consortia, funding can be shared with international partners for their contribution to the project. This arrangement must be made through the lead institution. International partners must agree to the conditions imposed in the funding agreement especially in relation to intellectual property.

Since there are different levels of experience and expertise in the Australian higher education sector, funding may be provided to projects to enable 'non-participating members', who may not have the resources to engage fully with the project, to join the project as an interested observer. The type of 'non-participating members' envisaged are those who wish to learn how to conduct such a project or plan at a future date to 'cascade' the project to their institution.

Appendix 8: Information about project budget, funding and payment

Budget items

The grant is provided for the purpose of achieving the deliverables, outcomes and impact of the project for which it is approved.

Funding for Innovation and Development grants is between \$40,000 and \$500,000. The size of the grant sought must align with the scale, scope and significance of the proposed project

All projects designed to go beyond 12 months must be designed around stages that have particular outcomes and deliverables.

The OLT will determine the amount and frequency of payments based on the original proposal and its own internal funding availability.

The budget can contain provision for:

- Salaries or teaching relief (as appropriate³) and on-costs. The rate used for on-costs is maximum 28 percent. Applicants must ensure the overall budget is balanced appropriately between any funding requested to go towards salary and teaching relief, and funding requested to go towards other project activities and project support.
- research activities
- project impact activities, including dissemination activities
- reasonable travel costs
- technical and expert support, evaluation and resources essential to the conduct of the project
- remuneration of advisory or reference group members
- maximum of 10 percent for administrative costs and overheads (institutional levy)
- editing and desktop publishing of the final report (maximum of \$3,000) [Note: all final reports must be professionally edited prior to submission].

The budget for full proposals must include an allocation of \$3,000 for attendance at OLT events in the first year of the project. For those institutions with high cost travel, the OLT will consider case-by-case applications for an additional allowance.

Please check that your budget adds up. The line items must add up to the sub-totals, and the sub-totals must add to the grand total.

Budgets are required for full proposals, not for EOIs submitted to the Grants programme.

Budget format and template

Budgets must comply with the recommended format. A template is provided along with supporting information below to assist applicants.

³ In the past the OLT had a limit on the amount of funding that could be requested specifically for teaching relief, to a maximum of \$35,000 per year per institution for the project leader and team members associated with a project. For applications in 2015, this limit is removed.

The budget should be grouped under specific sub-headings. The required budget sub-headings include:

Personnel:

This should include the salaries (e.g. project manager, research assistant/fellow), wages and on-costs of personnel who have overall responsibility for managing and implementing the project. The level of each appointment and the hours per week (or percentage of time committed) should be specified. On-costs to the maximum of 28 percent may be included.

Some institutions may have higher on-costs. Applicants need to check with ICOs.

Project Support:

This section must be completed where the purpose of expenditure is logistical. Project Support includes all non-staff expenditure for the administration and day-to-day management of the project. For example, project management meetings, stationery, travel, consumables. Please note the purchase of assets cannot to be included in the OLT budget.

Project Activities:

This section must be completed where the purpose of expenditure is directly linked to a project activity.

All costs which directly contribute to a specified activity, including evaluation and dissemination, should be included here. For example: undertaking research, the hosting of conferences and workshops, communicating with stakeholders, website development and hosting, advocacy, publications (including production), dissemination, and project evaluation.

Note that websites developed as part of any OLT grant need to be kept live and updated for at least five years after completion of the grant project.

This also includes travel relating to specific activities, and personnel expenses if personnel are recruited for a specific project activity. For example a facilitator for a workshop, or an independent evaluator should be budgeted under Project Activities, as should travel to attend the workshop or to undertake the evaluation.

Attendance at OLT events:

The budget for all full proposals must include an allocation of \$3,000 for attendance at an OLT project management workshop during the first year of the project and for attendance at any other OLT events that may be held during the course of the project.

If this funding is not fully expended, you may reallocate it for other project activities. Any requests for allocation should be made in writing (via email) to the OLT.

Administration and Overhead Levy:

A maximum of 10 percent may be claimed toward institutional administration and overheads. This does not include overheads associated with salaries.

Non-approved use of the grant

The grant cannot be used for:

- building works (including the purchase, construction, lease, renovation or fit out of premises)
- purchase of motor vehicles
- purchase of assets unless in exceptional circumstances specifically agreed to by the OLT in approving the grant (this restriction would normally include computers, small digital devices etc which should be provided by the institution/s as a contribution to the project)

- travel which is not directly related to achieving the outcomes of the project for which the grant was approved
- general recurrent funding.

Project funding

The initial grant payment will occur by end June or end December in the year for which the grant was approved. If a project is designed to go beyond 12 months, the funding for the out years will be given provisional approval only, and be paid if adequate progress against milestones is achieved and when the majority of the initial payment is spent. Should a project not be progressing well or the recipient institution requests non-continuance, the OLT can determine not to fund any extension or negotiate a new agreement with a different institution for completion of the project.

Payment of Grant

The funding agreement will contain the information on payment instalments linked to agreed project milestones.

Payments will be made via UniPay, the Department's internal payments portal. Payments will be made to the account officially designated by the institution and the OLT will not consider any requests to pay into alternate bank accounts. Payments in UniPay are made on a twice monthly basis as per the Department's standard grants payment process. The payment will be identified as a separate line item in the Institution Payment Summary in the Other Grants Category as the *Promotion of Excellence in Learning and Teaching in Higher Education* programme.

For projects involving a consortium of institutions/organisations, the grant will be paid to the lead institution (recipient institution) which will be responsible for the management and acquittal of the funding and the deliverables from the project. When seeking funding for a consortium, care should be taken to ensure the costs associated with the type of collaboration proposed are adequately addressed. The lead institution will be responsible for payments to partner institutions.

Appendix 9: Definitions and descriptions

Application – this term refers to proposals and expressions of interest (EOIs).

Deliverable – in the context of the Grants programme, a deliverable is an output from the project - a product or resource that has been generated through undertaking the project. Deliverables include frameworks, criteria, learning resources, workshops, reports, learning objects and tools etc. The terms deliverable and output can be used interchangeably.

Dissemination – In the context of the Grants programme, dissemination is ‘the planned process of understanding potential adopters and engaging with them throughout the life of the project, to facilitate commitment to sustained change’. It is a key means by which project impact is achieved. Dissemination activities are ‘The individual actions by which aspects of the project are disseminated to others, for awareness, knowledge, and action’.⁴

Impact – In the context of the Grants programme, impact is the difference that a project makes in its sphere of influence, both during and after the funding period. Examples include institutional or national policy changes, new or amended funding commitments, new incentives or expectations that value particular pedagogical approaches and so on.

Innovation – In the context of the Grants programme, the following definition will be applied:

the term ‘innovation’ refers to an idea, product, process or service that adds value, is useful or transforms current practice in the context to which it is applied. ‘First-generation innovators’ are those who do or create something new or different. ‘Second-generation innovators’ are those who take an innovation from one context and replicate, adapt or transform it for use within a new context⁵.

Intellectual Property Rights – 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.

Outcome – in the context of applications under the Grants programme, an outcome is a change or benefit that the project is designed to bring about, preferably described in a form that is measurable or for which evidence can be provided. To prepare an outcome statement as part of a project proposal, the question that should be posed is: *what is the project designed to achieve and how will the project team know they have been successful?* An outcome will be in existence by the time that a project’s funding ceases; impact describes these and subsequent changes and benefits. See also the definition for **deliverable**, as **outcome** and **deliverable** are often used interchangeably, which is incorrect.

Output – in the context of the Grants programme, a deliverable is an output from the project - a product or resource that has been generated through undertaking the project. Deliverables include frameworks, criteria, learning resources, workshops, reports, learning objects and tools etc. The terms deliverable and output can be used interchangeably.

⁴ Hinton, T., Gannaway, D., Berry, B., & Moore, K. (2011). The D-Cubed Guide: Planning for Effective Dissemination. Sydney: Australian Teaching and Learning Council.

⁵ Southwell, D., Gannaway, D., Orrell, J., Chalmers, D. & Abraham, C., Strategies for effective dissemination of project outcomes (2005), p. 2.

Partner Institution – partner institutions are those institutions that are actively engaged with the project through project team members. Institutions represented in an advisory process are not partner institutions.

Project Leader – the project leader is responsible to their institution for the project. They provide the intellectual leadership for the project and are the point of contact between the OLT and the project on matters of substance to the project.

Project Material – includes documents, equipment, software, goods, information and data stored by any means.

Transfer – In the context of the Grants programme, transfer means ‘the processes undertaken to maintain momentum and impact beyond the funded life of the project and beyond the project team’.⁶

Project Team Member – team members are actively engaged in the ongoing project work. They contribute directly to the success of the project through the contribution of time and intellectual resources to the project.

⁶ Hinton, T., Gannaway, D., Berry, B., & Moore, K. (2011). *The D-Cubed Guide: Planning for Effective Dissemination*. Sydney: Australian Teaching and Learning Council.