



**AIATSIS**

Australian Institute of Aboriginal  
and Torres Strait Islander Studies

## **Information for AIATSIS Research Grant Applicants**

**Closing Date – 11 January 2010**

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## **Important new requirement – supporting documents**

The application form requests that various documents be provided with your application. If you do not provide at least one referee report, substantive evidence of community support, a draft informed consent pro-forma (where needed), and a plain English research statement (where needed), your application may be ineligible for consideration. If you consider that any of these documents are not required for your application, you should provide an explanation; **we strongly recommend that you seek a ruling from AIATSIS, well before the closing date**, to ensure that your application will be eligible.

**This document comprises two parts:**

### **Section A: Introduction**

This provides information about the AIATSIS research grant round, including general information, the assessment criteria and information relating to successful grant applications.

### **Section B: How to Complete the Application Form**

Section B provides guidelines on how to complete each part of the application form. You are advised to read these guidelines carefully to ensure you provide the required information.

Application forms and other documents required for your application can be downloaded from the AIATSIS website. **You should note that any documents, including references and community support letters, received after the application closing date will not be included in the assessment process and may result in your application being ineligible.** Extensions of time will not be considered unless there are compelling reasons. Applications will often take much longer than expected to develop and properly review; we suggest that applicants start working early, and make sure that the people you need to contact will be available when needed, especially over the Christmas break.

Applications may be:

- posted to AIATSIS at GPO Box 553, Canberra, ACT, 2601
- hand-delivered to AIATSIS at Lawson Cres, Acton, ACT
- e-mailed to [grants@aiatsis.gov.au](mailto:grants@aiatsis.gov.au).

**Faxed applications will not be accepted.**

If you have any questions about the grant application process, please contact us by e-mail ([grants@aiatsis.gov.au](mailto:grants@aiatsis.gov.au)) or telephone 02 6246 1144. **Note that questions relating to the 2010 grant round may not be answered unless received by 18 December 2009.**

# SECTION A — INTRODUCTION

## Part 1 General Information

### 1.1 Program objectives

The Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS) is established by legislation as the premier national, multidisciplinary research institution focusing on Aboriginal and Torres Strait Islander studies. It does this partly by employing staff researchers, and partly by encouraging others to undertake these studies. This grants program is one way in which we encourage research by other people.

### 1.2 Research areas

AIATSIS funds research in a wide range of areas in Aboriginal and Torres Strait Islander studies such as: history (including family and community history), politics, law, public policy, health (social, cultural and environmental aspects), biological sciences, education, Indigenous knowledge systems, linguistics, social anthropology, archaeology and the arts.

An expanded listing of these categories is included at Attachment A to this guide.

### 1.3 Applicants

AIATSIS welcomes applications from people who wish to undertake research relevant to its research areas. Applicants are not required to have formal qualifications, but must demonstrate in their application that they have the ability to carry out the research described and present a clear outline of what they want to do.

Applicants employed by, or studying at, a university or other tertiary institution must follow their institution's guidelines when applying for AIATSIS funding. Tertiary institutions are expected to commit funds to support the research costs of their staff and postgraduate students applying to AIATSIS for a grant.

We strongly suggest that you contact your research supervisor (if you are studying at a tertiary institution) or AIATSIS during the development of your application, to ensure that all relevant matters are included and the project is clearly described. Poor description of a project, particularly its research methods and relationship with previous work by other researchers, is one of the main areas where less experienced researchers score badly.

Only one application will be accepted involving any single researcher in this grant round. If any of the nominated researchers have an existing AIATSIS grant, and the final report of that grant is more than 12 months overdue, calculated from the most-recently-agreed completion date to 31 December 2009, a new application from that researcher will not be accepted.

## 1.4 Funding information

Funds will be available from 1 July 2010. The total funds available for new grants in 2010 will be at least \$620,000. This amount may be increased before grants are approved, depending on our budget position. Funding will only be offered for one year at a time; if your project runs over several years, you will need to break it into components, see Section B, 3.6 for further information.

The total value of applications received each year greatly exceeds the funds available; around one third of applications are funded. Over the past three grant rounds, the average number of grants awarded per year was 29 and had an average value of \$23,127. The range of values was from \$7,140 to \$43,411. Details of individual grants awarded are available on the AIATSIS website at <http://www.aiatsis.gov.au/research/grants/grants.html>.

## 1.5 Funding coverage

Generally, the program will provide funding for costs directly associated with a project. This might include salary for the researchers, fees for informants, travel costs, and data collection costs. Further details on cost categories are included at Appendix 1.

The program does not fund:

1. Publication or production costs for books, videos, CD-ROMs and other media; paintings and artefacts; production of catalogues or databases of existing material; purely archival or sourcing/collating of materials, returning materials to communities or repatriation of material. Funding may be provided where these costs are *incidental* to a research project eg printing of research reports, basic recording and editing (but not engagement of professionals eg photographers and producers), or where substantial new material is to be added to databases either by collection of new information or adding interpretations.
2. The salary of a researcher who is a staff member. An exception may be made when the proposed research necessitates teaching relief or leave without pay to respond, for instance, to an urgent project; to augment the research profile of an emerging Indigenous researcher; or to supplement salary where the researcher is not fully funded by the employer.
3. Research for native title claims. Funding for this purpose may be available from Native Title Representative Bodies.
4. Activities of organisations which are regularly funded by governments, to carry out these activities as part of their normal responsibilities.
5. Conference attendance. However, small workshops or seminars or courses for the specific purpose of contributing to a research project may be funded.

6. Evaluations, descriptions or histories of institutions or programs carried out by the institutions/programs themselves or their staff. These projects may be eligible for funding if the research is to be carried out primarily by independent scholars.
7. Biomedical or clinical projects that do not include a significant Indigenous social or cultural research emphasis. These would normally be referred to the NHMRC for consideration.
8. Capital works or major asset purchases. Minor capital purchases may be funded if they can't be sourced through the administering organisation.

AIATSIS will not fund projects which could be funded from other sources. Examples of this might include clinical research (NHMRC), making films and documentaries (Australia Council, State film offices). If it is not appropriate to approach these agencies for your project, you will need to explain why. If you have approached these agencies but your application was declined, you should state this.

We may fund biographies or autobiographies; your application will need to demonstrate the importance of the subject in the regional or national context, and the excellence of the proposed research.

## **1.6 Research ethics**

It is essential that Indigenous peoples be participants in any research project that concerns them, sharing an understanding of the aims and methods of the research, and sharing the results of this work. The principles of the Institute's *Guidelines for Ethical Research in Indigenous Studies* are founded on respect for Indigenous peoples' inherent right to self-determination, and to control and maintain their culture and heritage. The Institute considers that these principles are not only a matter of ethical research practice but of human rights.

Compliance with the *Guidelines* is mandatory for all AIATSIS grants. They can be found at <http://www.aiatsis.gov.au/research/docs/ethics.pdf>. The Guidelines include a statement of the principles of ethical research in Indigenous studies, followed by an explanation of each principle, accompanied by some practical applications.

Applicants should note that the *Guidelines* are currently being reviewed, with an updated version available from mid-2010. Compliance with the new guidelines will not be mandatory until the 2011 grant round. A discussion paper on proposed changes will be published on the AIATSIS website in late November 2009.

The AIATSIS Research Ethics Committee is responsible for reviewing ethical aspects of each grant recommended for approval. Further information on ethical aspects is in Section B, Part 6.

## **1.7 Applications from researchers resident outside Australia**

Overseas scholars are required to arrange affiliation with an appropriate Australian administering organisation while carrying out research funded by AIATSIS. Intending overseas applicants should enquire about Australian visa and taxation regulations before submitting an application. Please note that AIATSIS will not act as an employer or sponsor for overseas applicants.

## **1.8 Storage of material**

Researchers should explain their proposed arrangements for storage of research materials during the project, particularly where sensitive material is to be collected. This might include who will have access to the material, and any conditions attached to that access. Your application should also include information on long-term storage of materials where relevant, including the period of retention, access by informants or other community representatives, and what happens at the end of the retention period eg transfer to the community / descendants, destruction etc.

AIATSIS encourages researchers to deposit copies of their data and research products with AIATSIS on completion of their project. Deposits with AIATSIS will ensure the long term care and storage of materials, but storage facilities cannot be made available unless materials are officially deposited in accordance with AIATSIS deposit requirements (see the AIATSIS website for further details).

If it is not appropriate to provide copies of materials to AIATSIS, your application should explain why; a university repository accessible to AIATSIS may be an acceptable alternative. As a general principle, AIATSIS expects that research supported by public funding should be placed in the public domain unless there are good reasons to the contrary.

## **Part 2 Assessment of applications**

### **2.1 Assessment criteria**

Research proposals are assessed against the following criteria. Note that, where there is mention of emphasis categories, applicants should discuss the category if it is relevant to their situation; there is no point discussing a category if it is of only minor relevance to your application. The application form does not directly deal with these questions because they are spread across the application.

**Preliminary questions** - There is no scoring for these questions – they are threshold questions which need to be answered in the affirmative:

Is this project appropriate to AIATSIS research functions (ie it is in a field relevant to Indigenous studies)?

Is the project eligible under the published grant conditions (ie this application guide and associated material published on our web site)?

Have relevant documents been provided with your application?

Following this assessment, scoring is allocated as follows. The total score needed for a successful application depends on the relative quality of all applications. In the 2009 grants round, the cut-off score was 80; good scores are needed in all categories to reach this total.

**Maximum of 30 points allocated to the research team.**

Up to 20 points for experience of the individuals:

Demonstrated capability to undertake research projects. This might include academic track record, or an assessment based on previous project delivery as part of employment.

Work experience / previous work in similar fields.

Experience in working with similar communities / groups.

Note – this category needs to take account of the overall team, not just the lead researcher, to get an idea of the total skills available for the project.

Up to 10 points to Indigenous community or individual involvement in the project.

**Maximum of 50 points allocated to the proposed project**

Up to 15 points for importance or innovation, including contribution to knowledge in Indigenous affairs. This includes the previous general emphasis category “innovative research”.

Up to 10 points for project definition – how well is it described and justified.

Up to 15 points for project plan and methodology.

Up to 5 points for projects requesting seed funding or which relate to information at risk of imminent loss.

Up to 5 points for the current special emphasis categories. For the current round, these are Relations with government; Knowledge about and caring for Country; and Economic sustainability. Additional information on these categories is included in Attachment B.

**Maximum of 20 points to expected benefits to the communities / organisations / individuals involved, to AIATSIS and to the wider community.**

Up to 20 points for the quality of answers which relate to materials to be delivered eg reports, recordings, other tangible or intangible benefits.

**2.2 Assessment process**

After the closing date, each application is allocated to an AIATSIS Research Fellow (“primary assessor”) for initial review and preliminary scoring.

If more than one Fellow (“secondary assessor”) has an interest in the research topic, comments are consolidated by the grants administrator. If the primary and secondary assessor’s comments are significantly at variance, the preliminary rating is moderated by a meeting of all Fellows,

chaired by the Research Director. The Research Director may also participate in the initial assessment process.

All applications, together with the preliminary scoring, are then provided to the Research Advisory Committee (RAC). The RAC decides a final score, recommends a budget allocation for successful applications, and – in some cases – recommends that conditions be attached to grants eg if a reduced budget is recommended, the researcher may be asked to provide a revised project scope, or demonstrate that the project can be completed within the proposed budget.

Applications recommended by the RAC for funding are reviewed by the AIATSIS Research Ethics Committee (REC). The REC makes recommendations to the AIATSIS Council on ethical compliance, and may also attach conditions. It will assess whether the application has dealt adequately with ethical aspects, including evidence of community support and agreement; dealing with intellectual and community property; evidence of university ethics approval where required; individual consents to participate in the project ;or modifications to a research plan to meet a revised budget.

The AIATSIS Council reviews RAC and REC recommendations, and decides whether to offer a grant.

## **Part 3 Taking up a grant**

### **3.1 Grant Agreement**

Successful applicants will be sent a letter of offer and an AIATSIS Grant Agreement. This Agreement contains the terms and conditions that apply to the grant, including the applicant's responsibilities with respect to insurance, reporting, ownership of materials and copyright. A copy of the standard AIATSIS Grant Agreement is available on the AIATSIS website.

### **3.2 Conditions on release of funding**

AIATSIS may advise that an application has been successful, but subject to the provision of additional information. This might include clarification of aspects of the application, provision of additional ethics or community clearances, or confirmation that the project can be completed where there is a significant difference between the amount sought and the amount approved. AIATSIS will not sign the grant agreement until these conditions have been met.

### **3.3 Release of grant funds**

Before any funds are released, the grant agreement must be signed by both parties, and a tax invoice (if registered for GST) or an ordinary invoice provided.

If the administering organisation hasn't received a grant from AIATSIS in the past five years, additional forms may need to be completed. These forms are available from AIATSIS if required.

### **3.4 Reporting progress**

As part of the grant agreement, you will be required to provide progress reports:

- Each six months ending December 31 and June 30, a brief summary report (1-2 pages) on what work has been done, the proposed work plan for the next six months, and a summary of any findings to date where these can be reported.
- Each financial year ended 30 June, a financial statement from the administering organisation setting out a summary of any monies received or spent in the year, together with the balance carried forward to the next year.

Following completion of your research, you will need to complete a "Final Research Report" and a "Grantee research materials and results form" for materials to be deposited with AIATSIS. If there is a significant difference between materials to be deposited and the information in Part 4 of your application, you will need to explain why. Your administering organisation will need to provide a final financial statement and arrange a refund of any unspent grant money.

### **3.5 Changing researchers or administering organisations**

A large component of the grant assessment is the quality of the research team. It follows that AIATSIS has a strong interest in any proposal to change the team after a grant is awarded; the grant contract prohibits changes without AIATSIS agreement.

In most circumstances, if a researcher moves to a new organisation due to a change of employment, the grant would follow the researcher. The new organisation is requested to take up the remainder of the grant, and if agreed a new contract is issued. The old contract is terminated, and the old organisation requested to repay any unspent monies.

If the researcher is unable to continue work on the grant, the administering organisation may nominate a new researcher to complete the project. The organisation should provide a *CV* for the new researcher, together with evidence that the researcher is acceptable to any communities or other organisations involved with the project.

## **Part 4 Retention of grant applications by AIATSIS**

AIATSIS will respect the confidentiality of your application. Access to all materials received is restricted to staff and other people involved in grants assessment and management activities.

After the assessment process is completed, applications are retained on internal files and dealt with in accordance with provisions of the *Commonwealth Archives Act 1983*.

## **SECTION B — COMPLETING THE APPLICATION FORM**

All sections of the form will expand by typing information into boxes. If additional lines or tables are required, they can be copied as required. Boxes will expand as necessary to enter information.

**There is a strict page limit for the application form of 14 pages when completed** - pages after 14 will be ignored during the assessment process. 12 point type must be used, except for bibliographies or similar references to previous research (eg section 3.7), where 10 point type may be used. Do not change page margins to make it fit – if you can't say it in 14 pages, you are being too verbose and will annoy the assessors.

Page counts exclude the budget calculation, referee reports, draft Informed Consent and Plain English Research Statement (if required) and letters of support from communities. Sections of the form which are not relevant to your application may be deleted to stay within the page limit.

**There is a strong preference for typed applications rather than hand-written.**

Do not include copies of previous publications or CDs / DVDs with your application form. If necessary, refer to them in your application; we will ask for copies if they are needed for the assessment process. Likewise, do not embed sound or video clips in the application, they will be lost during copying of papers for the assessors.

### **Part 1      Summary information**

#### **1.1      Name of administering organisation and principal researcher**

The administering organisation can be a university, community organisation or other incorporated organisation. This is normally the organisation that will sign the grant agreement for successful applications.

If the researcher is not closely associated with a suitable organisation, AIATSIS may agree that no administering organisation is needed. In this case, write only the name of the principal researcher.

#### **1.2      Title of research project**

Use a short title (a longer title may be given at 3.1) which conveys the key aspect of the research. It needs to be as clear as possible, as it will be used to allocate assessors and refer to successful grants.

### 1.3 Brief description of the project

Summarise what the project is intended to achieve, and how it will advance Indigenous studies. This description will be published on our website if your application is successful. A full description of the project is included at Part 3 of the application. 5 lines maximum.

### 1.4 Research category

Write the **one category** from the following table which most closely reflects the academic discipline relating to your project, in response to this question. These categories are described in Attachment A.

Archaeology	History
Australian Indigenous art	Linguistics
Education and cultural transmission	Public policy, politics and law
Health and biological sciences	Social anthropology

### 1.5 Special emphasis

If your application relates to one of the special emphasis categories, select the one most relevant category from this table. Otherwise, leave blank.

Relations with Government
Knowledge About and Caring for Country
Economic sustainability

Details of the subjects which might be covered by these categories are at Attachment B. Note that there is no place on the application form to describe how your project relates to these categories; your application should demonstrate its relevance to any selected category in the project description, particularly Parts 3 and 4.

### 1.6 Total funds sought from AIATSIS

This amount needs to be transferred from Appendix 1: Budget, or your own working papers.

## **1.7 Optional information**

This is additional information, requested to improve our research management. You do not have to complete this part.

## **Part 2 Project participants**

### **2.1 Details of administering organisation**

An “administering organisation” could be a university, government agency, private company or any other incorporated body. The administering organisation is responsible for managing successful applications including the budget, ensuring that projects proceed satisfactorily and for financial reporting.

Whilst an administering organisation is not mandatory, applicants should keep in mind that self-managing a grant is likely to involve issues around GST, income tax and superannuation for any research assistants, and financial reporting. In addition, the researcher will need to arrange for an audited financial statement to be provided by a qualified accountant, at the researcher’s expense, when the project is completed.

“Admin org reference” is your internal reference eg file number, and can be left blank if not relevant.

### **2.2 Researchers**

List the primary researcher and up to three additional researchers. The primary researcher is responsible for delivery of project outcomes in accordance with the Grant Agreement. If your project will include a significant contribution from community knowledge holders, they should be listed as co-researchers.

Applications are particularly welcome from “emerging” researchers eg PhD students or researchers with less experience. In this case, it would be beneficial to set out arrangements for supervision or mentoring by more experienced researchers.

The application form currently has space for two researchers. If you have more than this, copy the “2<sup>nd</sup> researcher” table to the end of 2.2.

### **2.3 Other participants**

Please list other people who will be working with these researchers on this project, or people you anticipate will need to be involved (such as interpreters, translators, field assistants, community participants with specialist knowledge). List also people who are not researchers but are integral to the research, for example, people you wish to interview. You may not have names of these people yet, but you can still describe what kind of people you wish to involve.

These people should be listed by “task”. This would normally be specific components of the project. The application form currently has space for two research tasks. If you have more than this, copy the “task” table to the end of 2.3. Note that this task list does not have to be exhaustive – we just need to see enough to fully understand your proposal.

## **Part 3      Research project**

### **3.1      Title of research project**

Title can be same as in Part 1, but may be longer if necessary to fully describe the project.

### **3.2      Geographic location(s) of the research**

This question enables AIATSIS to assess the national distribution of its research projects and allows the assessor to situate your research proposal in the appropriate region.

You should provide information on the geographic location(s) of the research; the research community(ies) involved; the nearest town(s) or city; State/Territory; and language group(s), as relevant

If the research is not location-specific, please explain its geographic parameters.

### **3.3      Aims**

This is an important section. Make your aims very clear. How do you / others want to benefit? What knowledge will be produced? Why is this important?

Suggested maximum length – one page.

### **3.4      Background**

How would you place your project in the broader research environment and how will this extend research knowledge in this area? (eg regional history, health, linguistics, law and justice, education theory or other research field).

What other work has been done on this or similar areas? What events or debates have made your project important? How will your project add to existing work? Citations of other work on related topics will help to establish your research credentials. You should bear in mind that the assessor may be familiar with these works.

For biographical/autobiographical research, the application must demonstrate the significance of the person(s) being written about, preferably including the regional or national significance. Consent/support letters from the subjects must be attached to the application.

Suggested maximum length – two pages.

### **3.5. Research methods and techniques**

In this section you need to show how you will conduct your research so as to meet your aims; why this particular approach is necessary/relevant/useful; what kind of data you will collect; how you will analyse your data. This is the ‘how’ section of your application. Where there is more than one researcher, the role of each researcher needs to be clearly stated.

Suggested maximum length – two pages.

### **3.6 Research timetable**

Show the expected start and finish dates for which you are seeking AIATSIS support. Note that AIATSIS will only fund projects for one year at a time. Research which will take more than one year should be broken into components; in this case, a new application will need to be submitted for the second and subsequent years. Note that there is no guarantee that additional years will be funded, this will depend on the quality of other applications received in that year.

If relevant, show how you will be dividing up your research tasks in order to complete the project and fulfil the aims within the specified lifetime of the project. Particularly for projects which will span several years, it may be useful to specify ‘stages’ in the project. These stages should relate to the start and finish dates you specify eg if your project has three stages (say, research, developing results, publication) and you want funding for the research component, then specify “the research component will be done between April and November 2007, and the whole project will be finished in June 2009”.

If the results of your project will not be published at the end of the stage funded by AIATSIS eg if it is part of a thesis or book which won’t be published until some time later, this should be also stated in the timetable.

### **3.7 Bibliography / related and previous research**

List any previous research relevant to your project, which you are building on or contesting. Include short references (eg “Smith, 1998”) through your application and give the full document title in this section.

Suggested maximum length – one half page.

### **3.8 Joint projects**

Use this section to describe any partners or other supporters of this project not discussed elsewhere.

## **Part 4 Research outcomes**

Research is of little value without outcomes, but these can be of various kinds, and should be linked to the aims given in Part 3.

### **4.1 What will be the products of your research?**

Products might include reports or journal articles; conference presentations; community report(s); publications; photographs, audiotapes or other recorded materials; DVDs, websites and online materials etc that you have collected and/or compiled during your research.

Consider the ethics and likely circulation of especially digital media, such as DVDs. Guidance on these matters can be found in the Informed Consent form (see Part 6 below) or from the Special Broadcasting Service document, “The Greater Perspective”, available at <http://www20.sbs.com.au/sbscorporate/index.php?id=397> .

### **4.2 How will your research products be accessible and/or useful to individuals or communities with whom you have worked?**

This section relates to materials to be made accessible to your research collaborators.

Of the items listed in 4.1, which ones will be provided to your collaborators? How will you make these items available, and when? Who to? Will there be benefits in terms of community / individual development eg skills development?

In what ways might the results be useful to participants, or other interested people, who have assisted with the project? What arrangements do you propose, to provide access to materials stored in locations not readily accessible to communities eg university data repositories, off-site filing cabinets? Will the products / outcomes in 4.1 meet requirements for feedback and accountability? Is there a role for local Keeping Places, library or similar storage place to lodge these materials?

### **4.3 Specify the products you intend to add to the AIATSIS collections and what form(s) these might take**

What specific materials such as raw data, analytical information or as outcomes, do you be expect to deposit in the AIATSIS collections? This will need to include any documentation required to explain the context and significance of these materials. The “Grantee Research

Materials and Results Form” must be completed at the end of the project, to properly set out future access rights to materials deposited.

AIATSIS-funded research contributes significantly to the AIATSIS library and audiovisual collections. We would normally expect to receive copies or all material collected as part of the project. This might need to be subject to any privacy, cultural or legislative requirements including any conditions set out in your “informed consent” documents.

Any material to be deposited should normally meet the technical specifications set out in Attachment C.

#### **4.4 How will your research extend, contribute to, or improve knowledge and understanding of issues relevant to Aboriginal and Torres Strait Islander studies? How might your research contribute to capacity building over the longer term?**

This Part is looking at the broader context, of how your project might contribute to understanding issues and solving problems in other communities, or at the regional and national levels.

Benefits of research can be realised immediately in some cases by enhancing knowledge or bringing about practical change, or they may be understood only in the long-term. Try to identify here both short and long-term benefits to Indigenous people and/or communities from your research project.

## **Part 5 Community support**

You will need to show that your project has been developed in consultation with relevant Indigenous communities, and is supported by them. This might include individuals, local community groups, or State or national umbrella groups for wide-scale projects.

List the groups and individuals consulted during development of your application, their prospective roles in the project and their views on the benefits they see from the project. Letters of support from relevant groups will be highly regarded, and will be required if your grant application is successful. Letters from community groups should normally be signed by the head of the organisation, or by someone who is authorised to sign on behalf of the organisation.

Suggested maximum length – one page.

## **Part 6 Ethics**

Your response to this Part should cover the requirements of the *Guidelines for Ethical Research in Indigenous Studies* (GERIS), which is available from the AIATSIS web site or by contacting the grants administrator.

This Part has implications for biographies, historical research, archival research or collection-based research as well as field research. It is particularly relevant to digital recordings, photographs etc which can be easily disseminated to wider audiences.

How will materials be stored, and access moderated, both during and at the conclusion of the project? What restrictions may need to be placed on access?

### **Privacy**

If there are any privacy issues, how do you intend to protect the personal privacy of individuals / families? Consider relevant parts of the Information Privacy Principles, summarised at Attachment D.

Some research dealing with personal events can create strong emotions, and you may need a plan to deal with this possibility. You should honestly assess the risks to research participants and inform them of these, and your strategy for dealing with adverse events. Include physical and emotional risk, as well as the risk of unintended impacts on a community.

If your research will involve children or people with reduced mental capacity, you may need to consider additional measures to ensure their privacy is protected.

### **Intellectual property**

Intellectual property (IP) in research products will generally be owned by the researcher, co-researchers or their employer unless there is an agreement otherwise. Such an agreement would require negotiation of ownership rights (including with your employer) and assigning the rights to IP based on those negotiations. Explain how any benefits will be shared eg own copyright or royalties from book sales.

### **Cultural property**

Cultural property (CP) is generally not recorded by communities, but passed down across generations. If this is the case, there is no *legal* (as distinct from moral) ownership of cultural property. Hence, researchers should ensure that their co-researchers and informants understand that recording of cultural property creates IP and involves giving up rights to CP. This is why negotiation of IP rights is important.

Where your research involves the acquisition of intellectual property owned by other people eg traditional knowledge or language, the REC will closely examine whether the proposed arrangements adequately the contributions by each party to the research.

Have you considered the potential impact of your research on culturally restricted information?

### **Informed consent**

Informed consent is an essential requirement for all research funded by AIATSIS which seeks to obtain information from individuals. It means that participants in your project understand what information you are collecting, why you are collecting it, what you will use it for, and who may access the information in the future.

A pro-forma informed consent form is on the AIATSIS website at [http://www.aiatsis.gov.au/\\_data/assets/pdf\\_file/8392/AIATSIS\\_HUMAN\\_RESEARCH\\_ETHICS\\_COMMITTEE-Informed\\_Consent..pdf](http://www.aiatsis.gov.au/_data/assets/pdf_file/8392/AIATSIS_HUMAN_RESEARCH_ETHICS_COMMITTEE-Informed_Consent..pdf).

We recommend that applicants review this form, to ensure that all relevant matters have been considered, and adapt it to your project's specific needs.

With your application you will need to provide:

- a copy of the information you propose to provide to the community and to individuals when you consult with them and negotiate agreement for your research (“plain English research statement”);
- a pro forma of the informed consent form you will be providing to participants throughout the project, which explicitly states the terms of ownership of intellectual property arising from the research.

### **Institutional ethics clearance**

If your project is being administered by an organisation that has a research ethics clearance (REC) procedure (eg most universities), you will need to:

- provide AIATSIS with a copy of your institutional ethical clearance, or
- advise that clearance is not required and the basis of that advice, or
- include information on the steps you intend to take to obtain ethics clearance.

If you don't have access to an REC, you must explain how you will deal with the GERIS requirements.

Grant funding will not be released unless all ethical aspects have been properly dealt with. The grant agreement will include a requirement that any significant change to your project, including ethical aspects, will need to be reported to AIATSIS.

## **Part 7 Other information**

Any further relevant information which will support your grant application may be provided.

## **Part 8 Referee reports**

You must nominate two referees for your application. Make sure that each referee:

- Has a copy of your completed application form.
- Has a 2010 “Referee Report Form”, available from the AIATSIS web site.
- Is able to complete the Referee Report Form and deliver it to AIATSIS on or before 11 January 2010.

If you are based outside Australia, one of your referees should preferably be based in your home country or region and one should normally be based in Australia.

If your project involves working closely with a community organisation, at least one referee must be independent of that organisation.

Points to note:

- The researcher is responsible for ensuring delivery on time; AIATSIS will not contact referees to pursue late references.
- AIATSIS will not provide copies of referees reports to researchers.
- Referees may send their reports directly to AIATSIS, or through the researcher. Referees may give the researcher a copy of the reference, but this is at the sole discretion of the referee.

New referee reports are needed for each grant application. However, if an application is for an extension to an existing project (eg second year of the project), and there has been no significant change to the project, references already provided will be acceptable; in this case, provide advice of this fact.

We recommend that researchers discuss their projects with referees during development, to ensure that the referee fully understands and supports the project.

### **Eligibility of referees**

Who can be a referee:

- Experienced researchers, or people with comparable experience and competence, who can confirm your research capacities to undertake and successfully complete the project.

At least one of the referees should have some knowledge of the proposed research community or environment.

Who cannot be a referee:

- Supervisors of, or persons directly involved in, your research project.
- Members of the AIATSIS Research Ethics Committee, Research Advisory Committee, Council or AIATSIS staff.

Referees who may have a conflict of interest, either personal or professional, which *might* be seen as affecting the referee's opinions must declare the nature of that conflict.

If you are working closely with an organisation eg community group, no more than one referee can be associated with that group. One of your referees must be independent of that group.

### **Delivery of references**

Referees may post or email the form to the attention of:

Research Grants Administrator  
AIATSIS, GPO Box 553, Canberra, ACT, 2601

Email: [grants@aiatsis.gov.au](mailto:grants@aiatsis.gov.au) .

**Faxed references will not be accepted.**

**References must be received by AIATSIS on or before the closing date 11 January 2010. References received after this date will not be circulated in the assessment process and your application may consequently not be given full consideration of its merits.**

Please note, AIATSIS reserves the right to seek advice from individuals other than people you have nominated as referees.

## **Part 9 Previous AIATSIS grants**

If any of the researchers listed in the application hold an uncompleted AIATSIS grant, this must be identified. Researchers who hold a current grant for a related project must explain how, or whether, their new proposal fits with the previously funded work.

Where the final report of a current grant is more than 12 months overdue, measured from the originally contracted completion date to 31 December 2009, a new application will not be accepted from the same researcher(s). Note that failure to deliver materials listed under section 4 of your application may result in AIATSIS deeming a project to be incomplete.

## **Part 10    Feedback**

Do you have any comments about your experience of filling out the application form, or about interpreting this Information for Applicants document? If yes, please advise the relevant Part number and your comments/suggestions. This information will be used to review documentation for future applicants.

## **Part 11    Signatures**

Each of the researchers named at question 2.2 must sign the application as being correct and complete, to the best of their knowledge. These signatures can be on separate pages if convenient eg if the researchers are in different locations. Additional signature pages do not count towards the 14 page application limit

A responsible representative from the administering organisation (eg the research manager, executive or director responsible for research) must also sign the application, to show that the organisation will manage the project if the application is successful.

Signatures can be provided by paper copy; a scanned signature pasted into an electronic document; or by sending a document from the signatory's personal e-mail address.

## **Appendix 1      Budget**

A detailed budget calculation must be provided with your grant application. Each item of planned expenditure must be justified, in sufficient detail to explain why it is needed.

A spreadsheet is available in Excel format to assist in developing your project budget. This may be used to calculate the amount sought, or your organisation may have its own budget calculators. The AIATSIS spreadsheet includes standard rates for salaries, travel allowances etc. It also includes space for comments on eg the role of personnel, or explanations for a funding bid.

All grant funds will be paid through an administering organisation unless AIATSIS has agreed to waive this requirement. The administering organisation may have a different contact officer for financial matters. If so, provide information at rows 5 and 6 of the AIATSIS spreadsheet.

AIATSIS does not pay administration fees to tertiary institutions. These are covered by block grants provided to universities under the Australian Competitive Grants Scheme.

### **Salaries**

This section covers payments to researchers and other people involved in the research.

Administering organisations are responsible for dealing with all obligations to their staff arising under employment law, including workers' compensation insurance and statutory superannuation payments. AIATSIS will not be a party to any employment arrangements, or disputes as to the correct employee entitlements under law.

AIATSIS does not normally provide salary for university employees. However, salary funding may be considered in exceptional cases, using the following criteria:

- (i) the availability of suitable grants at the applicant's university or elsewhere, and the efforts made to obtain funding from these sources;
- (ii) evidence that funding would not substitute for existing funding from the university;
- (iii) how much time the university staff member will be devoting to the project;
- (iv) how essential his/her involvement would be; and
- (v) where the application relates to a team of researchers, the employment situations of all those listed.

If a university staff member is funded, the funding period will be a maximum of six months.

Salary scales may be either:

- The default scale issued by AIATSIS, provided in the spreadsheet.

- Standard scales applicable to staff of the administering organisation. In this case, salary scales and on-cost rates should be included in the spreadsheet by over-writing the default scales.

You will need to justify the involvement of all these people in your response to questions 2.2 and 2.3.

Applicants can apply for wages or salary payments provided they are not in receipt of any other allowance, or in full-time paid employment during the time of the grant.

Funding may be requested for employment of research informants, field assistants, interpreters, translators, etc. Payments are made at a rate which reflects the employee's contribution to the project in terms of their knowledge and seniority.

### **Taxation - Administering organisations**

Administering organisations are responsible for all taxation obligations incurred as a result of a grant award.

AIATSIS will offer grants as GST-free amounts to successful applicants. Where the applicant is registered and liable for GST, an additional 10% will be added to the grant amount.

Activities supported under a grant agreement are "services" for the purposes of GST. Applicants should seek advice from the Australian Tax Office or a registered tax agent as to their own specific circumstances.

### **Taxation - individual researchers**

Where a grant is to an individual researcher, the researcher will need to provide an ABN; a "Statement by Supplier", setting out why the grant is exempt from GST; or the withholding tax rules will apply.

Grantees who have been issued with an ABN but have not been registered for GST purposes, must submit an invoice to claim the amount granted. They may not add GST to the invoice and may base their budgets on GST included prices.

If a researcher does not have an ABN and does not provide a "Statement by Supplier", the grant will be subject to PAYG tax arrangements. In this case, AIATSIS is obliged to deduct 46.5% of the grant as PAYG tax and remit it to the ATO.

### **Travel and accommodation**

This includes vehicle hire expenses, private vehicle use, accommodation and per diem rates. The budget spreadsheet includes default amounts for these expenses, where the administering organisation does not have its own rates.

## **Fares**

Estimates should include fares at economy, and where practical, discount rates, for travel to and from the research location.

## **Travel allowances**

Allowances for hotel/motel accommodation and meals in transit may be requested, at the rates applied by the administering organisation. Such rates apply only while you are in transit, not to accommodation costs at the research location.

Researchers may incur increased living costs whilst undertaking research away from home. An allowance may be requested to cover the increased cost over normal expenditure at home.

## **Vehicle hire and private vehicle use**

If a vehicle is required for the project, researchers are responsible for all costs of hire or other arrangements, including fuel and insurance. AIATSIS will not be a party to such arrangements.

Estimates for the costs of vehicle hire should set out the estimated daily costs and the number of days for which the hire is required.

Applicants are reminded that vehicle insurance policies, especially in remote locations, may carry specific limitations on the area of use, or significantly higher excesses.

## **Audiovisual Material**

Funding for photographic film, batteries, audio and video tape, must be itemised if needed for the project.

Applicants should read the information about suitable archiving formats for digital image and sound at Attachment C or contact the AIATSIS Audiovisual Archives program directly - e-mail [ava@aiatsis.gov.au](mailto:ava@aiatsis.gov.au) , phone (02) 6246 1133 or fax (02) 6261 4282 - for information about digital formats.

## **Community reports**

Grantees are encouraged to produce reports for the communities with which they are working during their research, as well as a final community report at the completion of their project. The format of these reports should be agreed during consultation and negotiation with the community. Provision should be included in the budget for these reports.

## **Miscellaneous**

Estimates for miscellaneous expenses may include:

- Freight on supplies and other special costs due to location
- General photocopy costs
- Stationery, maps and aerial photographs
- Hire of capital items such as laptop computers and recording equipment. Funding will not be provided for the purchase of capital items.

## **Archival research**

Funding can be requested for archival research. This may include library and collection search fees, microfilm copying, archival photocopying and documentation costs. These must be itemised.

## **Archaeological dating**

AIATSIS will not fund AMS determinations if funding is available through the AINSE system (to which most Australian universities subscribe). Researchers will need to provide evidence that AINSE has declined funding before an application is considered for AIATSIS support.

## **Other non-field expenses**

Funding can be requested for other research expenses that are not referred to above. Funding for annotating, documenting slides or films etc. will not normally be provided.

## **Other expenses**

This includes in-kind support from your organisation and funding being sought from other organisations. In-kind support might include a doctoral stipend or the value of resources provided to support the project, but excludes the value of normal supervision and administrative support.

AIATSIS encourages all applicants to seek alternative and/or supplementary funding and will consider part-funding a project. If other avenues are available, but you are unable to access them, for instance internal university research funding, please explain why you are ineligible.

Applicants must advise AIATSIS of other applications for funding, or other funding sources for the research project. Postgraduate scholars are requested to provide information about the funding support provided by their university including s, other than supervision and normal facilities, to assess the level of support from the university taking into account university access to federal subsidies.

## ATTACHMENT A – Research Categories

The following table provides additional information on the types of research supported by AIATSIS.

<p><b>Archaeology</b> (including material culture) is concerned with research relating to any aspect of the archaeology of Australia, including Indigenous technology, economics, rock art, and traditional demographic patterns.</p>
<p><b>Australian Indigenous art</b> is art made by Australian Indigenous people. It includes many forms of creative expression from conceptual, to performance, written, musical, or visual media. Indigenous art has been since time immemorial individual yet at the same time collaborative and event oriented. AIATSIS grant funding is directed to research of Indigenous artistic activity. Funding for artistic production is supported by other agencies such as the Australia Council.</p>
<p><b>Education and Cultural Transmission</b> is concerned, in the broadest sense, with all aspects of the organisation of teaching and learning, incorporating its processes and outcomes.</p>
<p><b>Health and Biological Sciences</b> supports studies of the social, cultural and environmental contexts of Indigenous health. Biological science research is concerned with the biological basis of the human organism, behaviour and demographic distribution in the present and past.</p>
<p><b>History</b> in the broadest sense refers to the record of human activity, including Indigenous oral histories, Indigenous contact histories, and the range of Indigenous-European interactions through the colonial era to the present time, together with the ideologies, policies and laws that underpinned these activities. It includes Indigenous forms of recording and studying history, the range of Indigenous political, cultural, artistic and other initiatives and the different expressions of Indigenous identity over time.</p>
<p><b>Linguistics</b> The area of linguistics includes descriptive studies of Indigenous languages, grammars, dictionaries and vocabularies (including pidgins/creoles and forms of English), collection and analysis of texts in Indigenous languages, comparative and historical studies of dialects or groups of languages, sociolinguistic studies, issues of language maintenance, education, and translation.</p>
<p><b>Public Policy, Politics and Law</b> includes discussion of government policy and law relating to Indigenous peoples in Australia; the engagement of Indigenous peoples with Australian law; and the recognition of Indigenous laws. Intellectual property.</p>
<p><b>Social Anthropology</b> broadly refers to ethnographic studies of contemporary social and cultural life, particularly in relation to family life, economy, landholding and religion.</p>

## ATTACHMENT B – Emphasis Categories

The following categories are areas where AIATSIS has specific research interests. Your applications should address all relevant categories. If a category is not relevant, it is not in your interests to write your application to assert otherwise.

### General Emphasis

Note – general emphasis categories should be addressed throughout your application. There are no separate questions on these categories.

*Aboriginal and Torres Strait Islander people and organisations applying to carry out individual or collaborative research projects, including community history research projects.*

*Emerging researchers and/or innovative research unlikely to be funded from other sources.*

*Seeding funding for larger original projects.*

*Research designed to capture information at risk of imminent loss.*

### Special emphasis

#### *Relations with Government*

Consideration of issues surrounding the anniversary of the 1967 Referendum and the Commonwealth's recent major changes in the management of Indigenous affairs has stimulated national debate about the changing framework of government relations with Aboriginal and Torres Strait Islander communities.

The relatively recent dissolution of self determination models embodied in the ATSIC organisation and a developing focus upon more localised partnership building between government and community, whole-of-government approaches, the COAG trials, the mainstreaming of some services, through to very direct interventions such as the Northern Territory Emergency Response highlight a range new models of government/community interactions.

AIATSIS is keen to support research into the changing administrative framework of Aboriginal and Torres Strait Islander affairs including case study research of current government administrative arrangements and their effects on communities.

The areas of study might include:

- Case studies of representative or service delivery organisations and their engagement with governments
- Frameworks for delivery of health care, housing, assistance with alcohol or drug abuse, child abuse, or domestic violence

- The Northern Territory Emergency Response
- Government interaction with land and sea management organisations
- Management of Shared Responsibility Agreements and Regional Partnership Agreements
- Native title arrangements
- Heritage protection arrangements
- The administration of national or state arts, culture, or language programs;
- Impacts of changing administrative arrangements on housing, health or education programs
- Welfare reform and employment programs
- Effective governance of Indigenous and non-Indigenous relations.

### *Knowledge About and Caring for Country*

Holding the Law and maintenance of cultural practices in respect to country are key responsibilities for Aboriginal and Torres Strait Islander peoples across the country. Such practices are central to the identity of traditional owners and managers and ensure continuities in knowledge sharing about country and the transmission of responsibility between the generations.

With new legislative and administrative responsibilities for land ownership, traditional owners have additional responsibilities in more formal natural and cultural resource management structures. Now multiple agencies promote ‘caring for country’ programs and Aboriginal and Torres Strait Islander peoples negotiate with other partners over land use and management practices. There are many different management frameworks that recognise traditional owner engagement and Aboriginal and Torres Strait Islander knowledge about country is being integrated in formal land and sea management plans. AIATSIS is particularly keen to foster research that examines the way that Indigenous knowledge is manifest in the design, implementation, and is articulated to ensure the relative effectiveness of these formal programs. Potential conflicts between Indigenous and western conceptualisations of country are relevant in this context.

The introduction of market mechanisms by government, as part of their environmental management agenda, also has consequences for Aboriginal and Torres Strait Islander lands. AIATSIS is keen to foster case study research of these developments and research of innovative methods to ensure traditional owner control and engagement with caring for country initiatives.

The areas of study might include:

- What does ‘caring for country’ mean
- How do Indigenous spiritualities and knowledge systems articulate ecological relationships
- Does healthy country sustain healthy people and / or healthy Indigenous economies;

- How is caring for country affected by rapid environmental and social changes
- Innovative management programs on Aboriginal lands
- Traditional owner engagement with management of their own lands and other privately held lands, Indigenous Protected Areas, and national parks
- The means by which Indigenous knowledges and spiritualities are recorded, represented and respected in program design and implementation
- Indigenous peoples' involvement with respect to fisheries, forestry, water, cultural heritage, environmental protection and biodiversity legislation, and including agreement making with respect to the management of land or water resources, such as Indigenous Land Use Agreements and Memoranda of Understanding
- Health benefits of living in remote communities or outstations.

### *Economic sustainability*

Current policies for the management of Aboriginal and Torres Strait Islander peoples articulate a range of development ideals and implicitly articulate preferred economic futures. For example there are strong policy proscriptions to dismantle current welfare arrangements in favour of more participatory or 'mutual obligation' models. However, there are major diversities of circumstance for Indigenous people across the nation and the scope for creating and sustaining full time employment in some locations may be severely constrained. In some locations there are opportunities to engage in the mainstream labour market, for example through employment in mining operations, and yet Aboriginal and Torres Strait Islander participation is relatively low.

Policy development needs to be supported by research that identifies realistic economic opportunities and constraints for Indigenous engagements in different Australian locales. Such research is also required to discern what Aboriginal and Torres Strait Islander people prefer and identify as their economic futures. Sustainability implies a consideration of Aboriginal and Torres Strait Islander motivations as well as interactions with local ecologies and employment infrastructures.

There are numerous examples of innovative enterprise development or 'hybrid' economies on Aboriginal and Torres Strait Islander lands. AIATSIS is keen to foster case study research of new sustainable models such as: art and craft production; cultural tourism; ranger programs; feral animal and plant control; animal or plant harvesting; carbon abatement programs; and, internet based enterprises suitable for remote localities.

AIATSIS would welcome proposals for critical research in the following areas:

- Historical and anthropological research of particular economic engagements;
- Characteristics of welfare or mutual obligation programs in particular locales;
- Analysis of economic constraints and opportunities in particular locales;

- Innovative enterprise development; and
- Examples of hybrid economies and diverse economies.

## ATTACHMENT C – Audiovisual Specifications

**Digital photographic images** should conform to the AIATSIS standard minimum of 6 megapixels, using the finest or best quality, preferably with no compression. A 35 mm SLR-Single Lens Reflex camera is recommended.

If possible, save as “Native Camera format” or “Camera Raw” files. If Raw is not available use TIFF. If JPEG is the only option, do not edit & re-save the file – provide the JPEG as it was stored by the camera. When sending digital images to AIATSIS, a copy of the camera's interface software should also be provided.

Please avoid obscure or un-branded cameras – the specifications are seldom reliable. Recognised brands (Kodak, Nikon, Canon etc) are a better choice.

Please note that colour negative film is not archivally stable and therefore AIATSIS prefers not accept colour negative film or colour prints. AIATSIS prefers grantees to use Ilford black and white film.

**Digital audio** should preferably be a minimum of 48khz, 24bit Broadcast Wave Format (BWF). If the equipment does not produce a BWF file, an uncompressed WAV or AIFF file @ 48khz, 24bit is also acceptable. If MP3 is the only option 128kb/sec (or higher) is also acceptable; do not edit & re-save the MP3 file, provide the file as it was stored by the recorder.

If you are using analogue cassettes, they should be no longer than 60 minutes on a cassette recorder with a standard tape speed of 1 7/8” or 4.75 cm per second. Avoid using metal or chrome tapes, or noise reduction systems such as Dolby.

**Digital video or DVD materials** - please contact AIATSIS for brand-specific advice, as each format has specific options to ensure the best possible results. As a general rule, if the video camera has a quality setting, select “best” or “finest”; if there is a “native” or “camera raw” format please select that.

**Videotapes** - better known brands of tape such as Sony, Phillips, BASF or Fuji are recommended. AIATSIS can archive and copy VHS, VHS-C, SVHS, video8, Hi8, U-Matic, and Betacam formats. Digital video files should conform to the AIATSIS Audiovisual Program standards which are included with the Information Package on the AIATSIS website.

**Mobile phones** with integrated cameras and voice recorders are currently not acceptable as they do not produce files that can be read by AIATSIS equipment, and use extremely high levels of data compression.

If you are planning to digitise existing analogue recordings or photographs, please contact AIATSIS ([audiovisual@aiatsis.gov.au](mailto:audiovisual@aiatsis.gov.au), phone 02 6261 4212 or fax 02 6261 4281) for advice on technical standards.

## ATTACHMENT D – Information Privacy Principles

Hyperlinks in this page connect to the Office of the Privacy Commissioner, website [www.privacy.gov.au](http://www.privacy.gov.au)

- [Principle 1 - Manner and purpose of collection of personal information](#)
- [Principle 2 - Solicitation of personal information from individual concerned](#)
- [Principle 3 - Solicitation of personal information generally](#)
- [Principle 4 - Storage and security of personal information](#)
- [Principle 5 - Information relating to records kept by record-keeper](#)
- [Principle 6 - Access to records containing personal information](#)
- [Principle 7 - Alteration of records containing personal information](#)
- [Principle 8 - Record-keeper to check accuracy etc of personal information before use](#)
- [Principle 9 - Personal information to be used only for relevant purposes](#)
- [Principle 10 - Limits on use of personal information](#)
- [Principle 11 - Limits on disclosure of personal information](#)