Australian Government
Department of Education and Training

Promotion of Excellence in Learning and Teaching in Higher Education (PELTHE) Program

Information for managing your project

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Purpose

The information in this document applies to all Grants and Fellowships funded by the Department of Education and Training (the Department) through the Promotion of Excellence in Learning and Teaching in Higher Education (PELTHE) program - Innovation and Development grants, Seed grants, Extension grants, Strategic Priority Commissioned grants., National Senior Teaching Fellowships and National Teaching Fellowships.

This document includes information about:

- Project establishment
- Project management
- Project impact and dissemination
- Project reporting
- Intellectual property and acknowledgement of the Department

Stay in contact

We encourage you to contact us with questions, updates, and good and bad news. If your project/fellowship is not progressing as planned, we would rather know earlier than later so we can help you resolve the issue. We also want to hear your good news stories, progress, achievements and information about upcoming activities.

The Department of Education and Training Contact details

Learning and Teaching Support

Student Information and Learning Branch

Higher Education Group

Department of Education and Training

GPO Box 9880

Location code C50MA7

CANBERRA ACT 2601

Email: learningandteaching@education.gov.au

Phone: (02) 6240 0625

Stay in contact with the Australian Learning and Teaching Fellows (ALTF) Network (Fellowships only)

The ALTF is a network for the support of quality learning and teaching in Australian Higher Education. The ALTF comprises experienced Fellows that offer support for current Fellows, and that provides a mentorship programme for new Fellows. The ALTF website offers a wealth of resources.

Project/Fellowship establishment

Funding agreement
The conditions of grant has been signed and a copy returned to the lead institution's Vice-Chancellor's office. If you do not have a copy, please either obtain one from the lead institution or contact the Department for an electronic copy.

The funding agreement outlines important clauses that you need to be aware of. We suggest you read through the agreement carefully and check with your legal office if there are any clauses you are unsure about. We ask you to take particular note of the Intellectual Property clauses (discussed further below).

The conditions of grant also outlines important project/fellowship milestones, such as due dates for progress reports and for the final report. It also lists the project/fellowship deliverables that you will need to work towards, and for grants, the project payment milestones.

Cross-institutional agreements (Grant projects only)
The conditions of grant for your project is an agreement between the Department and the lead institution and as such all changes to the project will need to be cleared with the lead institution. Arrangements with partner institutions are between the lead institution and the partners and although the Department can provide advice on how to manage issues, we cannot mandate requirements.

For collaborative projects, you will need to establish an agreement on who takes responsibility for what. You will most likely have done this at the time of application but you may need to formalise the process now that funding has been received. Usually formalising the agreement between parties is either done through a formal funding agreement or via an exchange of emails.

The method you choose will depend on your own internal requirements. An exchange of emails can be the simplest way to formalise an arrangement but if project funds are to be distributed, you may want a formal funding agreement. This can take the form of a full agreement or a letter signed by both parties.

The Department does not stipulate whether you need a formal cross-institutional agreement. This is an internal matter for you to decide within the project team.

Ethics approval
Obtaining ethics approval in almost all cases takes much longer than originally anticipated. We suggest you apply for ethics approval as soon as possible (if required).

External evaluator
All fellowships and projects funded to a value of $120,000 and above, are required to appoint an external evaluator. The evaluator will often be an expert in the field and cannot be a member of the project/fellowship team. A good evaluator will play a formative and summative role, helping to keep the project/fellowship on track, anticipate and manage around issues, and maximise impact.

Key documents for an external evaluator include: the original application; the conditions of grant; and the impact plan (for projects/fellowships funded from 2014 onwards).

The external evaluator's report needs to be included as an attachment to the final report.

Reference group

Many projects/fellowships will appoint a reference group. The reference group should include external participants who have appropriate expertise to ensure there is constructive advice on the design, development and direction of the project, and to ensure maximum impact within the institution/s engaged in the project and beyond those institutions. An 'external participant' is a person who is not a member of the project team/fellowship. They do not need to be external to the participating institutions.

Some reference groups are involved from very early on in the project/fellowship while others come on board later on. Some reference groups provide input into the day-to-day planning of the project/fellowship while other projects/fellowships seek more strategic input from their reference group. Some reference group members dedicate a significant amount of time to the project/fellowship while others dedicate less time. It is important to discuss and agree on these matters with the reference group at the onset.

Terms of reference may be agreed to set expectations of the role and likely time commitment of the group or, at the very least, the first meeting should discuss the role of the reference group and agree on that role and minute the meeting. The Department understands that individuals serving in this capacity do so as part of their collegiate responsibility to the sector. Project/fellowship budgets should cover out-of-pocket expenses only.

The Department also recognises that there will be occasions when payment for expert advice is appropriate and necessary. Project teams should consult with the OLT when considering commissioning external advisory services.

Project/Fellowship management

Managing the project team (Grant projects only)

1. **Project manager**

Effective project management is critical to the success of projects. Whether this function is undertaken through a dedicated, skilled project manager or as part of the role of the project leader is up to each project. However, it should be noted that the Department understands the role of the project leader to predominantly relate to project leadership, direction and oversight, with some managerial responsibilities.

In some cases, project managers are only employed to manage the logistics of the project, while in other cases, they are involved in research activities as part of their role.

2. **Managing team turnover**

We understand that life is not static and that things change, particularly if you have a large project team and a multi-year project. It is not unusual for a team member or even a project leader to change through the life of a project. Often this is not a major issue but we do ask that you let the Department know if there are changes in personnel.

If a team member needs to be replaced, an email to the Department outlining who the replacement will be will suffice. If the project leader changes, please contact the Department to discuss.

If a new institution becomes involved in a project, you need to provide a letter of support from the DVC(A) or equivalent, indicating that the new institution supports the relevant team member/s as part of the project. Conversely, if a person leaves a project team, it is the project leader's responsibility to ensure the departing team member's institution nominates a new representative or, if the institution decides to withdraw from the project, the lead institution would need to demonstrate to the Department that project deliverables will not be compromised by the change.

Managing timelines
The timeline and reporting due dates for the project/fellowship are set out in the conditions of grant. We understand that sometimes, due to unforeseen circumstances, there might be the need for an extension to due dates. The Department will only consider short extensions on a case-by-case basis. Extensions will only be considered for issues or events that will have a demonstrable and unexpected impact on the project. If something happens and you think it will affect your ability to deliver the project/fellowship on time, please be in touch with the Department as soon as possible to discuss.

Managing finances
Managing the budget is an important aspect of managing a project/fellowship. You have submitted a project/fellowship budget as part of the application and funding was granted based on your submitted budget. For fellowships and seed grants the total funding was paid on signing the conditions of grant. For all other grants, part of the funds were paid on

signing the conditions of grant. The remainder of funds will be released when the majority of the first payment is expended and when there has been sufficient and demonstrable progress against the deliverables. In order to have the second payment released, you will need to submit a financial acquittal of first payment. The template and some frequently asked questions are available in Appendix A.

Managing stakeholders

Managing your project's/fellowship's stakeholders and 'bringing them along' throughout the life of your project/fellowship is important to its success. You will have many different groups of stakeholders, and it is important to understand, think through and plan for their distinct communication needs. A well-thought through communication strategy is especially important for longer and larger projects. Please contact the OLT if you are thinking about engaging the Australian Government Minister for Education.

Communication with senior staff in your institution is critical. We suggest you book time with your DVC to discuss your progress on several occasions throughout the project's/fellowship's life span.

Project impact and dissemination

The impact of your project/fellowship should be considered throughout its duration and not just at the end. The Department expects a systematic approach to be taken to achieving impact and has introduced greater structure and additional resources to assist you in planning for 'Impact'.

Impact plan/strategy

All grants projects and fellowships funded in 2015 and onwards are required to maintain a completed project impact plan[1]/fellowship impact strategy. This impact plan/strategy will assist in continuously reviewing impact and realigning activities, as needed, to maximise impact, both during the life of the project/fellowship, and after it has been completed.

The Impact Planning Template and explanatory notes are included in Appendix B.

A key way to achieve impact is through dissemination. A solid dissemination strategy is multi-faceted and will include a range of dissemination activities and events. For example: project/fellowship websites; presentations, workshops and conferences; journal articles; media, including social media; final reports; flyers and newsletters; and frameworks or best practice principles.

Note that websites developed as part of the project/fellowship need to be kept updated and live for a minimum of five years after project/fellowship completion, as per conditions of grant.

[1] For grants funded in 2014, only Innovation and Development full proposals were required to develop a project impact plan shortly after commencement of the project (not seed projects or Strategic Priority Commissioned Projects).

Media engagement
Positive promotion of PELTHE-funded activities in the media is encouraged. When considering media engagement, the following should be noted:

- project leaders/fellows should make contact with their institution’s media team, and with the office of their Deputy Vice-Chancellor, to ensure the timing of media engagement is appropriate, and to ensure optimal preparedness
- recommendations that might result from a project/fellowship must <u>not</u> be provided to the media before the final report has been released by the Department
- a project/fellowship should have made significant progress before media coverage is sought
- in the case of a collaborative project, any media release should include all partners’ names.
- the project leader at the lead institution/fellow should be the key liaison point for the media

Project events
A resource entitled *Working with Workshops* is available and is specifically intended for use by project teams and fellows. It provides useful background and practical hints for those designing and planning events in their programmes or projects. To request a copy of this resource, please email learningandteaching@education.gov.au.

Reporting

Progress reporting

PELTHE progress reports are less about compliance and more about the Department engaging with the project/fellowship and supporting progress. Generally, every six months, a progress report is due to the Department. This is where you update us with information about your progress against project deliverables and let us know if there are any issues. All reporting dates are included in the conditions of grant.

Progress reports are verbal and take the form of a semi-structured discussion between the project leader/fellow and the Department Learning and Teaching Support officers. We also welcome any team members to participate in the conversation. The verbal progress reporting guidance document on the Department website details what will be covered during the discussion. The guidance provides a starting point for the conversation, and does not limit other relevant matters being raised.

A Learning and Teaching Support officer will be in touch with the project leader/fellow about four weeks before the due date of the progress report to arrange a time for the verbal progress discussion.

Final report

A final report is due at the end of your project/fellowship and will be published on the Department website, together with any other resources your project/fellowship has developed. Final reports should profile the outcomes and outputs of the project/fellowship, highlighting the impact the project/fellowship 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 outcomes have been achieved.

Keep in mind that the final report is a tool to disseminate project/fellowship findings and outputs. It needs to be written for a wide audience, enabling maximum impact.

Please refer to the PELTHE final reporting guidelines for details about required content. These guidelines, along with the final report template, are located on the Department website. In brief, the final report has three parts, with page limits of 1:3:25. The three parts are:

- Part one: the **achievements statement** (one page only). This is a stand-alone key-messages document, presenting the main outcomes and outputs.
  The single page is designed to quickly and effectively communicate key points and resources from the project. Part 1 will stand-alone from Parts 2 and 3 and may be distributed to promote and further disseminate project/fellowship outcomes and outputs.

- Part two: the **executive summary** (maximum three pages) is used to summarise the issue/s and context for the project/fellowship, 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. Part three also includes a certification by the Deputy Vice-Chancellor.

Please note that for Extension Grants, part two should be maximum one page, and part three should be maximum ten pages. A one-page achievements statement is also required.

Please email the final report to learningandteaching@education.gov.au. If appropriate, other related project/fellowship outputs should also be forwarded to the Department. These may include papers, reports, DVDs etc.

The Department will review the submission and may request changes to the report prior to finalisation. Once any requested changes have been made the publication approval/release will be issued in an official written notification.

Once approved for publication, the Department will send you a final agreed version of the final report. This is the version that will be published on the Department website and no further changes should be made to the final report from this time.

Financial reporting

1. Budget statements/Second payments

Grants and fellowships which have received the full funding upfront, only need to submit a financial acquittal at the end of the project/fellowship, once the final report is submitted. Project/fellowship spending will be discussed during the verbal progress reports.

If your project requires a second payment, this payment will only be made if 70 percent or more of the first payment is spent, and if progress of the project is satisfactory against the planned deliverables. Sometimes this will coincide with the due date of a progress report, but this will not always be the case.

Once your project is ready for the second payment, please email a completed and signed 'financial acquittal of first payment' to the learningandteaching@education.gov.au. The template and some frequently asked questions are in Appendix A.

2. Final financial acquittal

The signed financial statement of acquittal of funds, on the official Department template, must be provided to the Department within two months of the project/fellowship completion, as per the conditions of grant. A project/fellowship will not be considered complete until this is received.

The final financial acquittal should include a certified statement of income and expenditure against the budget categories specified in the approved project/fellowship proposal. The template for the final financial acquittal is included in Appendix A.

Intellectual property (IP)

IP in the funding agreement

As per the conditions of grant, the Department of Education and Training owns the project/fellowship material and the intellectual property rights to all project/fellowship materials and the Department grants a licence to you to reproduce, adapt and exploit the intellectual property rights.

Acknowledging the Department

Through your conditions of grant with the Department of Education and Training, each grant/fellowship recipient is required to acknowledge the Australian Government Department of Education and Training in all published material, including journal articles, presentations, websites, and advertising and promotional materials associated with the project.

1. **Acknowledgement statement**

The following statement should appear in all material developed in association with the project/fellowship:

Support for this project/activity has been provided by the Australian Government Department of Education and Training. The views in this project/activity do not necessarily reflect the views of the Australian Government Department of Education and Training.

Please choose only one of the words “project” or “activity” as is appropriate. This may also be replaced with terms such as “publication”, “website”, “brochure” etc. as appropriate. Where space is limited, please include the statement “supported by” next to the Department logo.

2. **The Department logo and branding**

The Department of Education and Training has a unique logo that may be used as part of your project/fellowship. As this logo contains a Commonwealth Crest, there are restrictions on its use. For details, please contact the Department at learningandteaching@education.gov.au. We will send you the logo file and instructions on how to use the logo. Each distinct use of the logo needs to be approved by the Department before it can be used on any project/fellowship material.

The logo may be used in conjunction with the acknowledgement statement, or a shortened version of it. Using the logo is not a requirement.

Creative Commons

Websites, DVDs and other multimedia resources also need to have the Creative Commons information added:

Unless otherwise noted, content on this site is licensed under the Creative Commons Attribution-ShareAlike 4.0 International License

Information on the creative commons licence can be found at: *[Creativecommons/licences]()* and [Creativecommons/licenses/by-sa/4.0/]()

Appendix A: Financial reporting templates and financial frequently asked questions (FAQs)

Financial acquittal of first payment/budget statement

This financial acquittal of first payment is required if you have been asked to provide it to release your second payment. It can also be used in case projects are asked to submit an additional budget statement.

All expenditure should be reported in whole dollars, exclusive of GST.

	First payment acquittal			
		Expenditure		
	Budget $	Actual $	Committed[2] $	Balance $
Personnel ***Sub total***				
Project support ***Sub total***				
Project activities ***Sub total***				
Institutional overhead levy ***Sub Total***				
Total				

[2] Committed expenditure represents funds for purchases or personnel costs that have already occurred and are awaiting invoices/payments.

Certification

Certification by project leader
I certify that this is an accurate representation of the financial situation of the project.

Project leader: …………………………………………………...

Signature: ……………………... Date: ………………...............

Certification by DVC/PVC (Academic), or equivalent, or official delegate
I acknowledge submission of the additional financial statement.

Full name: ………………………………………………..

Position: ………………………………………………...

Signature: ……………………... Date: ………………...............

Please send via email to learningandteaching@education.gov.au.

Final financial acquittal: template

UNIVERSITY OF XXX LETTERHEAD

FINAL FINANCIAL ACQUITTAL

Project reference: <Project reference> <Date>
Project Title: <Project title>

	$ Excl GST
Income:	
Total funding	*222,000*
Expenditure:	
Personnel	142,500
Project support	30,000
Project activities	20,000
Attendance at OLT events	3,000
Institutional overhead level	15,000
Total expenditure	*210,500*
Balance	**11,500**
Commitments: (if relevant)	
Travel costs	2,000
Web page development	5,000
xxx	3,000
Final Result	**-500**

I,< John Smith>, have reviewed the above statement. I can confirm that this is a true and fair representation of expenditure associated with the OLT grant received, and the funds were expended on the conduct of the project and in accordance with the funding agreement.

....

<John Smith, CPA>
<Divisional Finance Manager>
<Office of the Deputy Vice-Chancellor>
<The University of XXX>

....

<Professor Steve Jones>
<Project Leader>

Financial FAQs

1. General questions

Q: My institution requires financial statements to be presented in a format that is different from your requirements. Is it acceptable for me to provide a budget statement in a different format?
No, budget statements must be provided on the Department template. This is an requirement.

Q: My institution does not take the institutional overhead levy and assigns it to the project's/fellowship's account for activities. How do I know if this is the case for my institution? If this occurs, how do I show this expenditure?
This is an internal matter for the university. You will need to check with the research department and/or the finance department within your institution.

Q: What happens if my institution has a different accounting system/code and I have problems reconciling the account statement generated by my institution with the original budget submitted in the proposal?
We understand that each institution is unique and has its own preferred way of reporting income and expenditure. Therefore, although the template allows for a breakdown of costs within the broad categories (personnel, project support etc) it is not compulsory to include any further detail against the sub-headings. It will be sufficient to state the total amount requested in the original budget, the actual amount spent and the balance for each category.

Q: I did not attend or did not spend all of the money allocated to attend OLT events. Do I have to refund this money?
No, you do not have to refund this money. It can be allocated to other expenditure for your project. You should explain this in a footnote to your budget statement.

Q: As my project/fellowship has progressed, I have found that I need less money for one activity and more for another activity. Is it acceptable for me to reallocate funding between categories?
You are able to reallocate small amounts of funding between categories as necessary (up to $1,000). For significant movements, or for movements that affect the deliverables of your project, you should contact the Department to discuss your specific circumstances.

2. Questions regarding financial acquittal of first payment

Q: When do I need to complete a budget statement?
If your project will have a second payment, this payment will only be made if 70 percent or more of the first payment is spent, and if progress of the project is satisfactory against the planned deliverables. Once your project is ready for the second payment, please email a completed 'financial acquittal of first payment' to the Department, as per template above.

You will also need to complete and submit a final financial acquittal at the agreed upon date as per the conditions of grant, at completion of the project/fellowship.

Q: What should I show in the "Budget" column of the template?
This is the budget provided by you in your application for funding. The budget provided in this column should match the budget from the conditions of grant.

Q: What should I show in the "Actual" column of the template?
This represents the funding that you have actually expended.

Q: What should I show in the "Committed" column of the template?
This represents money for purchases or personnel costs where the goods or services have already been delivered but invoices have not yet been paid or your are under contracted obligation to pay for further services/products. You should not include any expenditure that you have budgeted for but have not yet incurred.

Q: What should I show in the "Balance" column of the template?
The "Balance" column represents the difference between Budget and Expenditure.

Q: What do I need to do if we are overspent or underspend in any of the individual categories?
If the variation in expenditure for any individual category is greater than plus or minus $1000 of the original budget, please footnote the table to explain each of the differences.

Q: What happens to my second payment if I have not spent 70 percent of my first payment?
Your second payment may be delayed if you have requested to carry-forward more than one third of your first payment. If this occurs, you will be asked to provide an additional financial acquittal at such a time when you have spent the majority of your first payment. This can be negotiated with the Department as appropriate.

Q: What if I need the second payment for a major expense despite not having spent all of the first payment?
Please contact the Department to discuss any special circumstances.

3. Questions regarding final financial acquittal

Q: Why do you require endorsement from the university's finance manager?

All funding provided by the Australian Government must be accounted for and audited in accordance with Australian accounting standards. A financial officer is required to ensure this takes place.

Q: What qualifications must the financial officer have?

The financial officer must be a senior executive officer employed by your institution who has primary responsibility for managing the audit functions, or a certified practicing accountant, chartered accountant, or a member of the National Institute of Accountants and who has your institution's delegation.

Q: What happens if there is a sum of money unexpended at the end of the project?

If a project has unexpended funds at completion, the project leader should contact the Department to discuss how this money could be used or if it should be refunded.

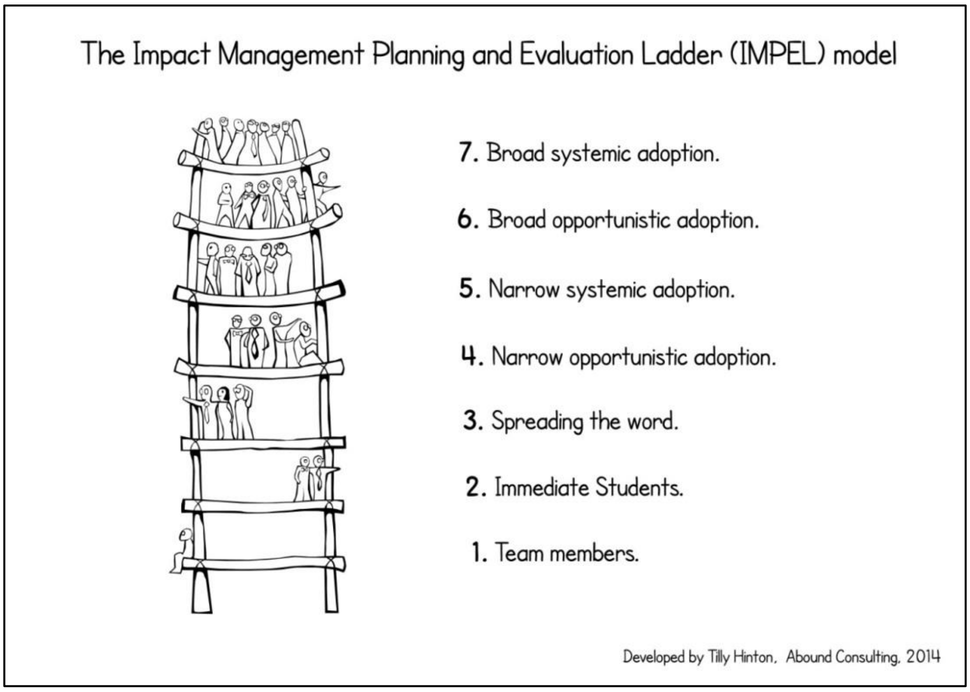
Appendix B: Project Impact

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 Department 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: *NB: these are approximations & text is not expected in every cell*			
	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?
    1. 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)?[3]
    2. What are your strategies for engaging with stakeholders throughout the project?
    3. How will you enable transfer[4] that is ensuring that your project remains impactful after the funding period?
    4. What barriers may exist to achieving change in your project?
    5. How will you keep track of the project's impact? What analytics may be useful?
    6. How will you maintain relevant project materials for others to access after the project is completed?

[3] The IMPEL model was developed by Tilly Hinton while on secondment to the Office for Learning and Teaching. The full version and further information on this model and resources to assist in considering impact are available on the Department website.
4 Transfer in this context means 'the processes undertaken to maintain momentum and impact beyond the funded life of the project and beyond the project team', Hinton, T., Gannaway, D., Berry, B., & Moore, K. (2011). The D-Cubed Guide: Planning for Effective Dissemination. Sydney: Australian Teaching and Learning Council.