



Australian Government  
Department of Industry,  
Innovation and Science

**Business**

business.gov.au  
**13 28 46**  
Delivered by AusIndustry™

# **Cooperative Research Centres Projects (CRC-P) Program**

## **Reporting Guidelines (rounds 1-4)**

**September 2018**

# Table of Contents

1.	Introduction .....	3
1.1	Scope of these Guidelines .....	3
1.2	Reporting Requirements .....	3
1.3	Commonwealth Monitoring .....	3
2.	Quarterly Progress Report .....	3
2.1	Content of Quarterly Progress Reports .....	3
2.2	Project and Milestone Progress .....	3
2.2.1	Progress against the Project .....	3
2.2.2	Progress against each Milestone .....	3
2.3	Financial Progress .....	4
2.3.1	Participant Contributions .....	4
2.3.2	Heads of Expenditure .....	4
2.4	Other Matters .....	5
2.5	Program Data Questionnaire.....	5
2.5.1	Patents .....	5
2.5.2	Licences/Options/Assignments (LOAs) .....	6
2.5.3	Contracts, consultancies, material transfer agreements and direct sales .....	6
2.5.4	Start-up/Spin-off companies.....	6
2.5.5	Publications and reports for industry-users.....	7
2.5.6	Industry-focused education and training activities.....	7
2.6	Certification, Submission and Payment .....	7
2.6.1	Payment of Funding.....	7
2.6.2	Recipient Created Tax Invoice (RCTI).....	8
2.6.3	Banking Details.....	8
3.	End of Project Report .....	8
3.1	End of Project Report.....	8
3.1.1	Governance and Management .....	8
3.1.2	Financial Management and Budget Provisions .....	8
3.1.3	Independent Audit Statement.....	9
3.1.4	Management of Intellectual Property (IP) .....	9
3.1.5	Assets .....	9
3.1.6	CRC-P Highlights and Achievements .....	9
3.1.7	Snapshot Summary .....	9
4.	Post Project Reporting - Survey.....	10
	Attachment A: Reporting Requirements Template.....	11
	Attachment B: Audit Guidelines .....	17

# 1. Introduction

During the funding period, a CRC-P (in general this means the Recipient/Lead Participant) must provide to the Commonwealth a Quarterly Progress Report within 30 days of the end of each quarter and an End of Project Report within 90 days of the End Date in the Funding Agreement.

## 1.1 Scope of these Guidelines

These guidelines outline the formal reporting requirements for CRC-Ps funded in rounds 1-4 (including the Developing Northern Australia Projects round), including preparing and submitting Quarterly Progress Reports, the End of Project Report and any Post-Project reporting, if required.

**Note:** These guidelines should be read in conjunction with the Funding Agreement. In the case of any inconsistency between the Funding Agreement and these guidelines, the Funding Agreement prevails.

## 1.2 Reporting Requirements

CRC-Ps are required to provide quarterly reports for each quarter in which they are active. The standard reporting period is every three months in any one financial year: July to September, October to December, January to March and April to June. Towards the end of each quarter, the department will provide CRC-Ps (by email) with a quarterly report template generated from the department's grants management system. CRC-Ps are required to input information for the relevant quarter as detailed in sections 2 and 3 of these guidelines and return the reports to the department by email. The final reporting quarter of each financial year and the funding period will include additional sections for completion (see **Attachment A**).

## 1.3 Commonwealth Monitoring

Each quarterly report submitted by a CRC-P will be assessed by the department. Acceptable reports will trigger the release of the next quarterly payment to the CRC-P. Any issues identified in quarterly reports will be discussed by the department with the CRC-P. If the issues are significant, the department may require more detailed assessment of the CRC-P.

# 2. Quarterly Progress Report

## 2.1 Content of Quarterly Progress Reports

The Quarterly Progress Report has up to six components:

1. Update of progress against the Project and each relevant Milestone;
2. Financial contribution and expense details;
3. Identification of any other matters that may affect compliance with the Funding Agreement;
4. Program Data Questionnaire (completed at the end of each financial year);
5. End of Project report (completed within the final project quarterly report); and
6. Declaration certifying the accuracy of the report.

Details on the requirements for each of these components are described below.

## 2.2 Project and Milestone Progress

### 2.2.1 Progress against the Project

The CRC-P must provide a brief outline of Project progress undertaken in the period since the last report. The outline should include an update on progress, as a whole, and include any real or potential challenges or issues, as well as any major achievements. If the Project is experiencing delays, the CRC-P must outline how it intends to address the issues in order to mitigate the delays.

### 2.2.2 Progress against each Milestone

The CRC-P must provide brief details on the progress of each Project Milestone including:

- Percentage completed at the end of the reporting quarter; and
- Expected completion date.

In addition to progress comments, if a contracted end date is unlikely to be met, the CRC-P must outline:

- Reasons for the delay on the Project Milestone;
- Expected impact the delay will have on the Project Milestone; and
- Actions taken or proposed to ensure that the Project Milestone is achieved and not delayed further.

## 2.3 Financial Progress

The CRC-P must provide the financial information required for quarterly reporting as per the CRC-P quarterly report template.

Only income and expenditure for the activities of the CRC-P as specified in the Funding Agreement should be included in the quarterly report.

All values in the quarterly report must be GST exclusive.

The Funding Agreement requires that the Account bears a reasonable rate of interest and that any interest on the balance is credited to the Account.

### 2.3.1 Participant Contributions

The CRC-P must report on Participant contributions received during the quarter for the Project. Each Participant's contributions should be recorded in the individual Participant tables, and the total combined contributions in the final Total Participant Contributions table.

Each Participant contributions table will include for each quarter:

- Cash (not accrual) contributions;
- In-kind contributions (FTE, FTE value and non-staff in-kind);
- Total contributions.

**Note:** FTE Value = FTE x \$250,000.

CRC-Ps should explain the reason for any shortfall in participant contributions, particularly where participants are consistently not meeting their contracted financial obligations, within the notes section.

### 2.3.2 Heads of Expenditure

The CRC-P must report on the cash (not accrual) expenditure for the quarter, allocated between Heads of Expenditure (Employee, Supplier, Capital and Other).

#### 2.3.2.1 Employee Expenses

Employee expenses are the salaries and direct salary on-costs including:

- Payroll tax;
- Workers' compensation insurance;
- Provision for annual and long service leave;
- Leave loadings and termination payments;
- Superannuation expenses; and
- Fellowship and student stipends.

#### 2.3.2.2 Supplier Expenses

Supplier expenses include direct and indirect costs of research such as:

- Consumables;
- Purchase of goods and services;
- Operating lease costs; and
- Conference attendances, training, travel, etc.

#### 2.3.2.3 Capital Expenses

Capital expenditure is defined as the purchase of an asset of a durable nature from the Account (such as equipment consistent with the Funding Agreement) the purchase price which exceeds \$20,000.

**Note:** Capital expenditure from the Account should be listed regardless of whether the asset will be owned by the Recipient or other participants.

#### **2.3.2.4 Other Expenses**

Only expenses that are not able to be attributed to any of the other categories should be entered here and can include taxation liabilities and depreciation/amortisation of assets.

### **2.4 Other Matters**

The CRC-P should review and outline any changes, in respect of that quarter, which may affect compliance with the Funding Agreement. Other matters include:

- Changes to the recipients company/incorporated trustee ownership/ control/ structure;
- Change to a Participant;
- Changes to a Participant's future contributions;
- Changes to the Participants Agreement or other contractual arrangements between Participants;
- Changes to intellectual property arrangements;
- Financial assistance from another government source for, or in connection with, activities that the CRC-P has been contracted to undertake under the Funding Agreement;
- Conflicts of interest arising for the CRC-P in meeting its obligations under the Funding Agreement; and
- Additional/new risks that will influence the likelihood of successfully completing the Project.

Based on the information provided, the department will determine whether the changes will require a variation to the Funding Agreement. Further guidance on contract variations can be found on the CRC Program page at: [www.business.gov.au](http://www.business.gov.au).

### **2.5 Program Data Questionnaire**

The CRC-P must report on the Program Data Questionnaire (PDQ) questions at the end of each financial year. All data reported through the PDQ must relate to the relevant reporting period only (i.e. 1 July to 30 June). The questionnaire consists of six parts:

#### **2.5.1 Patents**

Were there any patents filed or maintained during the reporting period? If applicable please report following the instructions below.

##### **General instructions**

- This section is asking for a snapshot of the CRC-P's total patent holdings as at 30 June with separate counts for new and maintained patents.
- Data must only relate to the CRC-P's activities, as specified in the Funding Agreement.
- Include: All patents in a single patent family, including when filed in multiple jurisdictions.
- In Australia means with IP Australia.
- Patents include plant breeder's rights.

##### **Filed instructions**

- Question 1: number of new applications for patents filed during the reporting period (in Australia and Overseas).
- New applications: A provisional application filed in the reporting period may be counted as new. If a provisional application is converted in the reporting period to a regular application, then the corresponding regular application should not be counted as new.
- Exclude: continuations, divisionals, reissues and continuations-in-part.
- Exclude: any filings where the complete specification is based on a provisional application.

##### **Maintained instructions**

- Question 2: number of patents maintained during the reporting period (in Australia and Overseas).
- Maintained patents:
  - patents applied for in a previous period and issued in the reporting period
  - patents applied for in a previous period and pending as at 30 June

- patents issued from a prior period and maintained.
- Exclude: new patents filed reported under Question 1 (above).

### 2.5.2 Licences/Options/Assignments (LOAs)

Were there any Licences/Options/Assignments (LOAs) executed during the reporting period? If applicable please report following the instructions below.

#### **Instructions**

- Question 3: number of new LOAs executed involving industry-users during the reporting period related to the Project.
- Question 4: income (\$000's) from all LOAs active during the reporting period related to the Project.
- Data must only relate to the CRC-P's activities, as specified in the Funding Agreement.
- Industry-user: A person, organisation, industry or community capable of deploying the research outputs of a CRC-P, whether they are participants in the CRC-P or not.
- Active: 'Legally enforceable' licences and options that earned income in the reporting year, or which are contracted to provide income in future years and for which there is a reasonable expectation that income will be paid, or, when there is no financial consideration associated, that they reflect a continuing relationship between parties.
- Include: LOAs on intellectual property contracted between the CRC-P participants and industry-users. Only include LOAs negotiated on full commercial terms, granting access to intellectual property (patented or otherwise) in return for royalties or licence fees.
- Exclude: Material transfer agreements and direct sales reported under Questions 5 and 6 (below).

### 2.5.3 Contracts, consultancies, material transfer agreements and direct sales

Were there any contracts, consultancies, material transfer agreements and direct sales undertaken during the reporting period? If applicable please report following the instructions below.

#### **Instructions**

- Question 5: number of consultancies, contracts, material transfer agreements and direct sales during the reporting period.
- Question 6: gross contracted value (\$000's) from consultancies, contracts, material transfer agreements and direct sales during the reporting period.
- Data must only relate to the CRC-P's activities, as specified in the Funding Agreement.
- Consultancy and contract agreements: Agreements for the conduct of research on behalf of clients and for the provision of expert advice based on the CRC-P's existing knowledge skills and capabilities.
- Material transfer agreements: An agreement outlining conditions under which material is provided from a CRC-P participant to another entity for a specific use.
- Direct sales: Sale of physical products generated by the CRC-P (as opposed to the provision of research or expertise) based on the IP generated by the CRC-P.
- Exclude: LOAs reported under Question 3 and 4 (above) and financial assistance arrangements / grants awarded by Commonwealth or state governments that are outside the activities specified in the Funding Agreement.

### 2.5.4 Start-up/Spin-off companies

Were there any new operational start-up/spin-off companies created during the reporting period? If applicable please report following the instructions below.

#### **Instructions**

- Question 7: number of new operational start-up/spin-off companies related to the Project during the reporting period.
- Question 8: income (\$000's) (e.g. royalties, contributions, sale of equity) during the reporting period from all start-up/spin-off companies related to the Project.
- Data must only relate to the CRC-P's activities, as specified in the Funding Agreement.
- Start-up/Spin-off companies created by the CRC-P: Any new firm that has the primary aim of commercialising or exploiting new technology or IP created by the CRC-P.

## 2.5.5 Publications and reports for industry-users

Were there any publications or reports arising from the CRC-P's activities published during the reporting period and produced with the aim of transferring know-how or practical information to industry-users during the reporting period? If applicable please report following the instructions below.

### **Instructions**

- Question 9: Number of publications or reports for industry-users published during the reporting period.
- Data must only relate to the CRC-P's activities, as specified in the Funding Agreement.
- Industry-user: A person, organisation, industry or community capable of deploying the research outputs of a CRC-P, whether they are participants in the CRC-P or not.
- Include: Reports, papers, books, newsletters, booklets, computer programs, videos, multimedia, web portals, blogs, websites etc. aimed at transferring know-how or practical information to industry-users.
- Include: confidential publications.
- Exclude: publicity brochures, web sites, etc. that provide only general information on the CRC-P's activities.

## 2.5.6 Industry-focused education and training activities

Were there any industry-focused education and training activities with the aim of transferring know-how or practical information to industry-users during the reporting period? If applicable please report following the instructions below.

### **Instructions**

- Question 10: number of structured professional training courses, conferences, symposia, seminar series or workshops conducted/hosted by the CRC-P with the aim of transferring know-how or practical information during the reporting period.
- Question 11: number of internships and secondments between industry entities and research organisations during the reporting period.
- Data must only relate to the CRC-P's activities, as specified in the Funding Agreement.
- Industry-user: A person, organisation, industry or community capable of deploying the research outputs of a CRC-P, whether they are participants in the CRC-P or not.
- Exclude: casual seminars that are not part of a structured series, and 'open days', etc., which publicise the CRC-P itself.
- Exclude: conferences and activities not hosted by the CRC-P participants.

## 2.6 Certification, Submission and Payment

The Recipient/Lead Participant, or person duly authorised by the Funding Agreement, must certify that the information contained in the quarterly report is true and correct and that the Funds have been expended only for the Project in accordance with the Funding Agreement.

Once the quarterly report has been completed, it must be signed and sent via email to the departmental CRC Program Liaison Officer, copying in the program mailbox [CRCProjects@industry.gov.au](mailto:CRCProjects@industry.gov.au) (if appropriate).

### 2.6.1 Payment of Funding

Payment of funds for the reporting period will be made by the Commonwealth, in arrears, via a Recipient Created Tax Invoice, in accordance with the Funding Agreement.

The Commonwealth will pay a quarterly payment within 30 days of receipt of a compliant quarterly report subject to:

- Departmental acceptance and approval of the quarterly report; and
- The CRC-P meeting all its obligations under the Funding Agreement.

**Note:** The full schedule of a CRC-P's quarterly payments is set out in the Funding Agreement.

## 2.6.2 Recipient Created Tax Invoice (RCTI)

A RCTI is a tax invoice generated by the Commonwealth rather than the CRC-P. This means the CRC-P agrees to allow the Commonwealth to issue the RCTI to make a payment (in respect of that quarter) in relation to the Project. No action is required by the CRC-P in regards to invoicing.

## 2.6.3 Banking Details

If a CRC-P needs to make any changes to its banking details or remittance address, it must contact its CRC Program Liaison Officer, who will provide a copy of the department's supplier form. The form must be completed, signed by an authorised person within the CRC-P and returned to the CRC Program Liaison Officer.

# 3. End of Project Report

The final quarterly report submitted by a CRC-P will include a standard Quarterly Progress Report for the final quarter as well as an End of Project Report. Both components will be included in the report template that will be provided to the CRC-P by the department. The CRC-P will also need to provide an independent audit statement covering all Project related income, resources, and expenditure over the full funding period. The objective of the final quarterly report is to ensure that the CRC-P:

- Fully meets its obligations under the terms of its Funding Agreement (e.g. completing all of its Project activities and financial obligations by the end of the Agreement Period);
- Fully meets its obligations in terms of agreements between its Participants (e.g. Participants Agreement); and
- Has in place mechanisms to protect the interests of its Participants and personnel.

The final quarterly report also provides an opportunity for a CRC-P to demonstrate how the Commonwealth grant funding has supported its achievements, the impact of its work and the benefits to Australia.

Information in the final quarterly report will be used to inform the Minister, the CRC Advisory Committee, the department and the general public about the performance of individual CRC-Ps. It may also be used as part of any evaluation of the impact of the CRC Program as a whole.

## 3.1 End of Project Report

The following sections provide an outline of the minimum information to be provided in the End of Project Report, however CRC-Ps are encouraged to include any other relevant information (including diagrams, images and graphs/tables) that demonstrates the achievements and impacts of the CRC-P. A CRC-P must include a summary providing the following information:

- Governance and management arrangements after the end of the Agreement Period;
- Financial management and budget provisions, including;
  - Any planned arrangements for intellectual property on the completion of Project activities.
  - Any planned arrangements for assets on the completion of Project activities
- CRC-P highlights and achievements, including a 'Snapshot Summary'; and
- Any other issues as directed by the department.

### 3.1.1 Governance and Management

The CRC-P must include contact details for the person, or person duly authorised by the Funding Agreement, responsible for managing the end of project reporting process and who can be contacted after the Agreement Period to assist the department with any outstanding reporting requirements.

The CRC-P must ensure the appropriate storage and archival of documentation with relevant parties, particularly contract material, so that it is accessible by the Commonwealth for a period of at least seven years.

### 3.1.2 Financial Management and Budget Provisions

The CRC-P must ensure that the following financial management and budget issues are addressed during the final quarter of the CRC-P.

### 3.1.3 Independent Audit Statement

As part of the final end of project report, CRC-Ps are required to submit and attach an independent audit statement covering all Project related income, resources and expenditure (see **Attachment B**).

**Note:** *Unspent CRC-P funding* - Commonwealth funding is provided to the CRC-P to undertake the activities and objectives as agreed in the Funding Agreement. After the end of the Agreement Period, the Commonwealth is entitled to recover any unspent grant funds, in accordance with the Funding Agreement.

### 3.1.4 Management of Intellectual Property (IP)

The CRC-P must ensure that structures and procedures are put in place to safeguard the ongoing management of the CRC-P's intellectual property (IP) including any assignment for commercialisation or further development and distribution of any commercial returns.

This information required includes the name, description, future ownership arrangements and associated rationale for each item of IP.

### 3.1.5 Assets

Unless allowed for in the Funding Agreement, the CRC-P must ensure that any asset valued at \$50,000 (excluding GST) or above is not disposed of without the Commonwealth's prior approval. The information required includes the name, description, future ownership arrangements and associated rationale for each asset.

### 3.1.6 CRC-P Highlights and Achievements

The highlights and achievements section should be concise, aimed at the general public, describing the CRC-P, its participants and purpose. This section should be similar to an executive summary, introducing the CRC-P and its activities.

The highlights and achievements should include information on:

- The direct economic benefits associated with the CRC-P research (verified and quantified by industry wherever possible); specifically information on:
  - How many products and services to market (other items of intellectual property) did the CRC-P generate during the Agreement Period;
  - The economic benefit to industry through the development of new or improved products, services or processes; and
  - Any other economic benefits such as risk mitigation, growth in employment, reduction in costs, and capability enhancement.
- The impact of the CRC-P on the level of collaboration within the industry more broadly, specifically information on:
  - How many SMEs collaborated in the CRC-P during the Agreement Period;
  - How many relevant publications did the participants publish during the Agreement Period;
  - Which Growth Centres did the CRC-P work with during the Agreement Period;
  - A statement on the value participants place on being part of the CRC-P; and
  - How participants working together led to an impact that would not have been achievable without the collaboration.
- The impact of education programs on industry, the sector in general and on skills development; specifically information on:
  - Details of internships and secondments between industry entities and research organisations;
  - The education training programs that were conducted during the Agreement Period;
  - The impact of education and training programs in areas of skill shortages; and
  - How education programs delivered by the CRC-P have influenced the uptake of new knowledge, products, services or processes.

**Note:** Where possible; relevant examples including quotes should be included from participants and other industry entities that have benefited as a result of their involvement in the CRC-P.

### 3.1.7 Snapshot Summary

The highlight and achievement section must also include a 'snapshot' summary, with high level concise dot point statements for key highlights/achievements in the below categories, where applicable:

- Major achievements
- Research
- Commercialisation
- SME engagement
- Education and training
- Spin off companies and inventions
- International engagement

**Note:** The information provided in the ‘snapshot’ may be used for input into government briefings; as such they need to clearly demonstrate a CRC-P’s achievements in plain English.

## 4. Post Project Reporting - Survey

Post-project reporting (in the form of a survey) may be undertaken approximately 12 months after the end of a CRC-P’s funding period. The completion of the survey is independent of a CRC-P’s payments or formal reporting obligations under the Funding Agreement. The purpose of the survey is to gather important evaluative information on the CRC-P and the CRC Program as a whole. The following is a list of the type of questions that might be included in the survey:

- Are you satisfied with the benefits received from participating in the CRC Program, through a CRC-P?
- Please list up to three key benefits that you received from participating in the CRC Program through a CRC-P.
- Did the CRC-P develop a product, service or process that solved the industry-identified problem?
- How many CRC-P Industry partners reported collaboration has improved competitiveness and productivity?
- What is an example of the way that collaboration has improved competitiveness and productivity for an industry partner?
- How many CRC-P industry partners reported that they valued their involvement with the program?
- How many CRC-P related collaborations extended beyond the Agreement Period?
- How many internships and secondments between industry entities and research organisations extended beyond the Agreement Period?

**Note:** The department will contact the person provided as part of the end of project reporting to complete the post project survey.

# Attachment A: Reporting Requirements Template

CRC-P & Selection Round Number:           XXXX - XXXX

CRC-P Title:                                   XXXX

Lead Participant Entity Name:           XXXX

Funding Period:                           XXXX to XXXX

Reporting Period:                       XXXX

Notes:

This report has a number of purposes which include but are not limited to:

- Providing a basis for making payments;
- Recording the progress of the CRC Project against the Funding Agreement;
- Completing a Program Data Questionnaire (end of financial year); and
- End of Project reporting requirements (final quarterly report).

Information contained in this report may be used by the department for the Minister, the CRC Advisory Committee and other stakeholders.

## 1. Project and Milestone progress

### a. Project progress

Please provide a brief outline of Project progress undertaken in the quarter, including any real or potential challenges or issues, and any major achievements.

[Click here to enter text.](#)

### b. Milestone progress

Complete the table below and comment on each project milestone [Schedule 2]<sup>1</sup>

Notes:

1. Items in [square brackets] refer to the relevant section of your Funding Agreement.
2. Percentage complete at the time of the end of the review period for this report. If already completed, enter '100%'.
3. End date as per the Funding Agreement.
4. Actual or expected completion date.
5. If a future milestone has not yet commenced, enter 'Yet to commence'. In addition to progress comments, if the agreed end date is unlikely to be met, outline:
  - the reasons for the delay on the project milestone, the expected impact of the delay will have on the project milestone; and
  - actions taken or proposed to ensure that the project milestone is achieved.

No	Project Milestone	% Complete <sup>2</sup>	End Date <sup>3</sup> Agreed	Completion Date <sup>4</sup> Expected/Actual
1	XXXX		XXXX	
<b>Progress Comments</b> – work undertaken and impact of any delay <sup>5</sup>				
2	XXXX		XXXX	
<b>Progress Comments</b> – work undertaken and impact of any delay <sup>5</sup>				

## 2. Financial Progress

Please fill in the tables below [Schedule 4].

### a. Participant Contributions

Recipient/Lead Participant: XXXX			
Contribution type	This quarter	Contracted for current FY	Total contracted over the life of the CRC-P
Cash		\$XXXX	\$XXXX
FTE		XXXX	XXXX
FTE Value (= FTE x \$250,000)		\$XXXX	\$XXXX
Non-staff in-kind		\$XXXX	\$XXXX
Total value of contributions		\$XXXX	\$XXXX

Notes, please include any relevant details:

[Click here to enter text.](#)

Participant: XXXX			
Contribution type	This quarter	Contracted for current FY	Total contracted over the life of the CRC-P
Cash		\$XXXX	\$XXXX
FTE		XXXX	XXXX
FTE Value (= FTE x \$250,000)		\$XXXX	\$XXXX
Non-staff in-kind		\$XXXX	\$XXXX
Total value of contributions		\$XXXX	\$XXXX

Notes, please include any relevant details:

[Click here to enter text.](#)

Total Participant Contributions			
Contribution type	This quarter	Contracted for current FY	Total contracted over the life of the CRC-P
Cash		\$XXXX	\$XXXX
FTE		XXXX	XXXX
FTE Value (= FTE x \$250,000)		\$XXXX	\$XXXX
Non-staff in-kind		\$XXXX	\$XXXX
Total value of contributions		\$XXXX	\$XXXX

Notes, please include any relevant details:

[Click here to enter text.](#)

## b. Heads of Expenditure

Heads of Expenditure			
Expense type	This quarter	Contracted for current FY	Total contracted over the life of the CRC-P
Employee		\$XXXX	\$XXXX
Supplier		\$XXXX	\$XXXX
Capital		\$XXXX	\$XXXX
Other		\$XXXX	\$XXXX
Total Expenditure		\$XXXX	\$XXXX

Notes, please include any relevant details:

[Click here to enter text.](#)

## 3. Other matters

Are there any other matters not covered at Section 1, which may affect your compliance with the Funding Agreement, for example:

Matter	Yes	No
Are there any proposed or actual changes to the recipient company/incorporated trustee ownership/control/structure?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any change to the Participants?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any changes to a Participant's future contributions?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any proposed or actual changes to the Participants Agreement or other contractual arrangements between Participants?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any proposed or actual changes to intellectual property arrangements, as stipulated in the original application?	<input type="checkbox"/>	<input type="checkbox"/>
Have you received financial assistance from another government source for, or in connection with, activities you have been contracted to undertake under the Funding Agreement?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any conflicts of interest arising for the CRC-P in meeting its obligations under the Funding Agreement?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any additional/new risks factors that will influence the likelihood of successfully completing the Project?	<input type="checkbox"/>	<input type="checkbox"/>
Are there any additional/new risks that will influence the likelihood of successfully completing the Project that are not already covered above?	<input type="checkbox"/>	<input type="checkbox"/>

If you answered 'Yes' to any of the above, please provide details:

[Click here to enter text.](#)

#### 4. Program Data Questionnaire – (End of Financial Year only)

You must provide an answer on each Program Data Questionnaire (PDQ) question below, including 'Nil' if appropriate. All data reported through the PDQ must only be for the CRC-P Activities that relate to the relevant end of financial year reporting period (i.e. 1 July to 30 June).

##### a. Patents

Were there any patents filed or maintained during the reporting period? If yes report below, otherwise please skip to the next question.

1	<b>Number of new applications for patents filed during the reporting period:</b>	
	<i>In Australia</i>	<i>Overseas</i>
2	<b>Number of patents maintained during the reporting period:</b>	
	<i>In Australia</i>	<i>Overseas</i>

##### b. Licences/Options/Assignments (LOAs)

Were there any Licences/Options/Assignments (LOAs) executed during the reporting period? If yes report below, otherwise please skip to the next question.

3	<b>Number of new LOAs executed involving industry-users during the reporting period relating to the Project.</b>	
4	<b>Income (\$000's) from all LOAs active during the reporting period related to the Project.</b>	

##### c. Contracts, consultancies, material transfer agreements and direct sales

Were there any contracts, consultancies, material transfer agreements and direct sales undertaken during the reporting period? If yes report below, otherwise please skip to the next question.

5	<b>Number of consultancies, contracts, material transfer agreements and direct sales during the reporting period.</b>	
6	<b>Gross contracted value (\$000's) from consultancies, contracts, material transfer agreements and direct sales during the reporting period.</b>	

##### d. Start-up/Spin-off companies

Were there any new operational start-up/spin-off companies created during the reporting period? If yes report below, otherwise please skip to the next question.

7	<b>Number of new operational start-up/spin-off companies related to the Project during the reporting period.</b>	
8	<b>Income (\$000's) (e.g. royalties, contributions, sale of equity) during the reporting period from all start-up/spin-off companies related to the Project.</b>	

##### e. Publications and reports for industry-users

Were there any publications or reports arising from the CRC-P's activities published during the reporting period and produced with the aim of transferring know-how or practical information to industry-users during the reporting period? If yes report below, otherwise please skip to the next question.

9	<b>Number of publications or reports for industry-users published during the reporting period.</b>	
---	--	--

#### f. Industry-focused education and training activities

Were there any industry-focused education and training activities with the aim of transferring know-how or practical information to industry during the reporting period? If yes report below, otherwise please skip to the next section.

10	Number of structured professional training courses, conferences, symposia, seminar series or workshops conducted/hosted by the CRC-P participants with the aim of transferring know-how or practical information during the reporting period.	
11	Number of internships and secondments between industry entities and research organisations during the reporting period.	

### 5. End of Project Report – (End of Project Report only)

The following sections provide an outline of the minimum information to be provided in the End of Project Report, however CRC-Ps are encouraged to include any other relevant information (including diagrams, images and graphs/tables) that demonstrates the achievements and impacts of the CRC-P.

Information in the final quarterly report will be used to inform the Minister, the CRC Advisory Committee, the department and the general public about the performance of individual CRC-Ps. It may also be used as part of any evaluation of the impact of the CRC Program as a whole.

A CRC-P must include a summary providing the following information:

- Governance and management arrangements after the end of the Agreement Period;
- Financial management and budget provisions, including:
  - Any planned arrangements for intellectual property on the completion of Project activities.
  - Any planned arrangements for assets on the completion of Project activities;
- CRC-P highlights and achievements, including a 'Snapshot Summary'; and
- Any other issues as directed by the department.

#### Governance and Management

##### a. Contact details

Click here to enter text.

##### b. Storage and archival of documentation

Click here to enter text.

#### Financial Management and Budget Provisions

##### a. Independent Audit Report

*Insert as an attachment to this template.*

##### b. Management of Intellectual Property (IP)

Item of IP	Description of IP	Ownership arrangements after the end of the Agreement Period	Rationale

Click here to enter text.

##### c. Assets

Asset	Description of Asset	Ownership arrangements after the end of the grant period	Rationale

Click here to enter text.

## CRC-P Highlights and Achievements

Click here to enter text.

### a. Snapshot Summary

Click here to enter text.

## 6. Certification and Payment

Payment of funds for this reporting period will be made by the Commonwealth via a Recipient Created Tax Invoice subject to the acceptance and approval of this quarterly report, in accordance with the Funding Agreement and any guidelines issued by the Commonwealth. You will be advised on the approval of this quarterly report by the department.

I **[Insert Name Here]** being duly authorised by the Funding Agreement hereby certify that the information contained in this report is true and correct and that the Funds have been expended only for the Project in accordance with the Funding Agreement.

Signed:..... Date:...../...../.....

Name of Signatory: .....

Position: .....

Organisation: .....

## Attachment B: Audit Guidelines

CRC-Ps must provide an audited financial statement covering all Project related resources, income and expenditure, as part of their final quarterly report. The statement must include verification of the sources of funding (whether in the form of cash or in-kind) for the activities of the CRC-P as specified in the Funding Agreement, and the application of that funding to each head of expenditure.

The independent audit report must be conducted by a qualified accountant and the statement must include an opinion on all items in the template below.

For these purposes, a **qualified accountant** is:

- a) A person registered as a company auditor or a public accountant under a law in force in a State or Territory; or
  - b) A member of the Institute of Chartered Accountants in Australia, or a CPA member of CPA Australia, or a Professional National Accountant Member of the National Institute of Accountants.
- They must be independent of the CRC-P participants and free of any business or other relationship that could materially interfere with the exercise of their judgement.

Given the size and structure of most CRC-Ps it would be considered best practice to utilise a **registered company auditor**.

The scope of the audit statement required from a CRC-P is wider than a financial statement usually provided by an auditor and must address a range of issues. CRC-Ps should therefore request its auditor to provide the audit report on financial information other than a general purpose financial report (AUS 802) in order to comply with the reporting requirements of the Funding Agreement.

The CRC-P's auditor must be fully informed of the terms and conditions under which the CRC Program funding and other contributions have been provided to the CRC-P to ensure that the auditor is able to provide a statement that meets the Commonwealth's requirements. Accordingly, the CRC-P must provide its auditor with a copy of the Funding Agreement with the latest variations approved by the Commonwealth.

### Requirements of the auditor

The auditor must conduct an audit in accordance with Australian auditing standards and form an opinion on the financial information provided by the CRC-P. The auditor must address a number of issues which are set out in the Funding Agreement. A template for the audit report is included below to assist the auditor to satisfy the audit requirements of the CRC-P under the Funding Agreement. Use of the template is not mandatory, however the audit statement must cover all areas outlined in the template and be signed and dated.

## Template for the Audit Statement

### Auditor's Statement

Answer each statement with a yes or no.

Provide a statement for each non-compliant area or other issue you identify.

The auditor's Statement **must** address and provide an opinion on whether:

1. The financial statements present fairly that contributions, both cash and in-kind, have been made and recorded in accordance with the budget as specified in Schedule 4, and in accordance with the terms, of the Funding Agreement.

*[If not, please list in a table, actual contributions that are more than 10% less than the contracted amount set out in the Funding Agreement and briefly describe the variation.]*

2. In accounting for the Commonwealth funding and contributions, the CRC-P has exercised proper accounting standards and controls (clause 9.4(a)).

*[If not, please list and provide comment on exceptions.]*

3. The CRC-P has met its obligations to the Commonwealth in relation to any Assets (clause 14.2 (b)(i)).

*[If not, please list and provide comment on instances in which these obligations have not been met.]*

4. The cash contributions and the Funds have been paid into, expended or legally committed for expenditure from the CRC-P's Account, in accordance with the Funding Agreement, and all interest on the balance of the Account has been credited to the Account (clause 9.4 and 10.2(a)).

*[If not, please list and provide comment on the instances in which these requirements have not been met.]*

In my opinion the reports specified under Schedule 3 of the Funding Agreement present fairly that the Funds and the contributions have been expended solely for the activities and in accordance with Schedule 4 of the Funding Agreement and Australian accounting concepts and applicable Australian standard, and that all transactions for the activities as specified in Schedule 2 have been conducted through the Account.

Signature: .....

Name: .....

Date: .....

Company: .....