



Cooperative Research Centres (CRC) Program

Reporting Guidelines

Guidance for quarterly, annual, final and evaluation reporting.

May 2022

Contents

1. Overview	2
2. Scope of these guidelines	2
3. Glossary of key terms	2
4. Reporting requirements	3
5. The Portal	4
6. Quarterly Reporting	6
7. Annual Reporting	9
8. Final Reporting	12
9. Evaluation Reporting (post project)	15
Attachment A - CRC Annual Reporting Template	16
Attachment B – Audit Guidance (for Round 20 and prior)	18
Attachment C – Grant Completion Report Template	20

1. Overview

This guideline document (the Guidelines) has been prepared to provide guidance to CRC Grants in relation to CRC Program reporting requirements (i.e. Quarterly, Annual, Final and Evaluation) and obligations as part of the Commonwealth Grant Agreement (the Grant Agreement).

All Quarterly, Annual, Final and Evaluation reporting required under the CRC Program, must be submitted through business.gov.au, via the department's secure online [portal](#). Reporting requirements cover a number of purposes, including:

- Providing a basis for making CRC Grant payments
- Demonstrating the CRC has fully met its obligations under the terms of its Grant Agreement (e.g. completing all of its activities and financial obligations over the course of the reporting period)
- Demonstrating the CRC is meeting its obligations in terms of agreements between its partners (e.g. Partner Agreement).

The department will assess reports on the basis of timeliness, accuracy and completeness against the reporting requirements outlined in these Guidelines and the Grant Agreement. Any issues identified by the department in the reports will be discussed with the CRC. If the issues are significant, the department may require additional information before approving or making any further payments, where applicable. Additionally, it should be noted if the department considers the CRCs progress or status requires further detailed assessment it may request to conduct a performance evaluation.

2. Scope of these guidelines

These Guidelines outline the department's reporting requirements for CRCs, noting they should be read in conjunction with the Grant Agreement and CRC Program guidelines relevant to each CRC Grant Round. In case of any inconsistency between the Grant Agreement and these Guidelines, the Grant Agreement prevails.

Departmental acceptance of any report documentation not complying with these Guidelines and/or the Grant Agreement does not signify the Commonwealth has approved any changes to the Grant Agreement. Approval of any changes to the Grant Agreement must be sought via a variation request.

All questions regarding the information in these Guidelines should be directed to your Customer Service Manager in the first instance, or email crc.program@industry.gov.au.

3. Glossary of key terms

Term	Description
Annual Reporting	Refers to the annual reporting CRCs are required to provide at the end of each financial year during the grant funding period. The report package comprises responses to questions within the portal and relevant attachment uploads which includes auditor statements (see Section 5 and Attachment A).
Customer Service Manager (CSM)	The departmental liaison contact officer for your CRC.
Detailed Progress Reporting spreadsheet	Refers to the progress reporting spreadsheet (an excel workbook) which the CRC completes and submits as part of Quarterly and Annual Reporting. The spreadsheet tracks and incorporates partner contributions, milestone progress and budget information of the CRC for the entire grant funding period.

Term	Description
Evaluation Reporting	Refers to the post project evaluation report (in the form of a survey) to be undertaken approximately 12 months after the end date of a CRC's grant funding period (see Section 8).
Final Reporting (i.e. End of Funding Summary reports)	<p>Refers to additional reporting CRCs are specifically required to provide within the final two years of the grant funding period. These reports are in addition to the annual reporting requirements which focus on the annual reporting period only. The report package comprises responses to questions within the portal and relevant attachment uploads which includes a 'Grant Completion Report' template (see Section 7 and Attachment C).</p> <p><u>Draft End of Funding Summary report</u></p> <p>Encompasses a whole of life summary of the CRC to date, including milestone, budget/audit acquittal and transition arrangements. It covers the same structural reporting requirements as the 'End of Funding Summary' report, but is submitted as an interim report in the CRC's penultimate year of operation to ensure the CRC is on track to complete its Grant Agreement obligations.</p> <p><u>End of Funding Summary report</u></p> <p>Builds on the 'Draft End of Funding Summary' report to capture the entire CRC grant funding period, including milestone, budget/audit acquittal and transition arrangements. It ensures the CRC has completed all of its Grant Agreement obligations including the final acquittal of CRC Grant funds including the status of relevant outputs, assets, IP and PhD students.</p>
Grant Agreement	Contractual arrangement(s) entered into by the CRC Grant recipient and the Commonwealth for the purposes of carrying out the CRC's activities.
Management Data Questionnaire (MDQ)	Refers to the mandatory reporting survey CRCs are required to complete each year as part of Annual Reporting. MDQ reporting results are used by the department to assess program-wide performance (see Section 6).
Partners	The persons, bodies or organisations, other than the CRC Grant recipient, who have agreed to provide contributions to the CRC for the purposes of carrying out the CRC's activities. For the purposes of this document, reference to CRC partners includes reference to 'CRC Participants' for those CRCs funded in earlier rounds.
Portal	The department's secure online website used to manage programs and services delivered.
Quarterly Reporting	Refers to the progress reporting CRCs are required to provide for each quarter during the grant funding period. The report package comprises responses to questions within the portal and relevant attachment uploads (see Section 4).

4. Reporting requirements

Commonwealth reporting requirements and timelines are outlined in the Grant Agreement. In all circumstances where the submission of reporting documents will be delayed, the CRC must inform the department well before the submission deadline with an explanation for the delay, what the CRC is doing to remedy the delay, and an expected date for the submission of documents. The department will consider this request and advise if an extension is approved.

Report Type	General Timing	Reporting Components	Submission Timing
Quarterly Reporting	Four times per financial year.	<ul style="list-style-type: none"> Summary report (text within portal) Detailed Progress Reporting spreadsheet (mandatory upload). 	By 30 days of the end of each quarter of a financial

Report Type	General Timing	Reporting Components	Submission Timing
			year (i.e. end of October, January, April and July).
Annual Reporting	Annually during the grant funding period.	<ul style="list-style-type: none"> • Summary report (text within portal) • Annual Report template (mandatory upload) • Independent Audit statements (mandatory upload) • MDQ (mandatory upload) • Additional documents (upload, if relevant). 	By 30 October following the financial year of reporting (covers the period between 1 July to 30 June).
Final Reporting	Second last and last year prior to closure.	<ul style="list-style-type: none"> • Summary report (text within portal) • Grant Completion Report template (mandatory upload) • Highlights and Achievements report (mandatory upload) • Additional documents (upload, if relevant). 	By 30 October following the second last (Draft End of Funding Summary) and last (End of Funding Summary) financial year of reporting (covers the whole of life of the CRC).
Evaluation Report	One year post closure.	<ul style="list-style-type: none"> • Summary report (text within portal). 	12 months after the end date of a CRC's grant funding period.

Note: for Annual and Final reporting requirements CRCs must structure its reporting submissions using the prescribed template attachments within the relevant sections of this Guideline (see Section 5 and Section 7). It is open to CRCs to prepare written annual and final reports as separate documents intended for public release on a stand-alone basis.

5. The Portal

The portal enables management of CRC Grant reports and payments through a secure online account. Below are some key terms which are used in the portal that are different to the terms used within a Grant Agreement.

- “Application” in the portal means the record in the system relating to the CRC Grant. The portal uses the term “application” from the time a grant funding bid is created, and then through the grant funding period.
- “Participants” in the portal means people who have been given access by the CRC (i.e. by the Primary Contact) to the CRCs application/grant in the portal. This term does not relate to the ‘organisations’ which have signed a Partners Agreement or ‘third parties’ who contribute to the CRC.

Note: report information can be saved at any time by using the Save button. To prevent the loss of work it is recommended to save often. The portal will time out after 30 minutes if a report has not been saved. Typing or moving the mouse does not reset the time out.

Portal Access and Participant Roles

To access the [portal log-in](#) just click on the ‘Sign in’ button in the top right hand corner. Only CRC representatives, authorised by the CRC, are able to complete and submit reports. Once a person has successfully signed in, using their nominated email address and password, they will be able to input, edit and view all the CRC Grant information in one location.

The Participants function allows CRCs to select the level of access each CRC member can undertake by assigning the appropriate Participant Role. A brief description of CRC member reporting roles relevant to an active CRC is outlined below.

Participant Role	Description	Reporting access	Suggested role assignment
Application creator	The application creator is the person who started the application. Only one person can have this role. They cannot accept an agreement or variations to the agreement unless they are also the authorised signatory. They can invite any other participants.	View, edit and submit.	<ul style="list-style-type: none"> • Consultant • CRC employee
Primary contact	The primary contact has primary responsibility for the project. All correspondence will be directed to this person. They cannot accept an agreement or variations to the agreement unless they are also the authorised signatory. They can invite any other participants. Where they invite another primary contact, this will remove their own permission.	View, edit and submit.	<ul style="list-style-type: none"> • CEO
Authorised signatory	The authorised signatory is a representative of the grantee organisation who can enter into an agreement with the Commonwealth. This person has permission to view and amend all data in the application and project. Only someone with this role can accept the grant agreement or variations to the agreement.	View, edit and submit.	<ul style="list-style-type: none"> • CEO
Application participant	An Applicant participant is a representative of the applicant organisation. They cannot accept an agreement or variation to the agreement. They cannot invite other participants to the application. This must be organised through the primary contact.	View, edit and submit.	<ul style="list-style-type: none"> • Consultant • CRC employee • Research project leads • CFO • COO
Customer Service Manager grantee	Someone with this role can view everything in the application record but they cannot edit or submit. They can invite other participants to the application.	View.	<ul style="list-style-type: none"> • Departmental staff

Note: when a person is invited to help manage the application, via the Participants function, they will receive an email to join the portal and create an account.

Portal Limitations

The following browsers provide the best experience in using the portal:

- Windows: The latest versions of Mozilla Firefox and Google Chrome
- Mac: The latest versions of Safari and Google Chrome.

The portal has the following system and character limitations:

- Each uploaded attachment/document cannot exceed 2.0 MB, with a maximum limit amount of 20 MB available per report
- Attachments/documents must be one of the following file types: doc, docx, rtf, pdf, xls, xlsx, csv, jpg, jpeg, png, gif
- At each section of the report, the information icon details the specific character limit for that section, noting formatting is not supported

Note: by exception, if the CRC needs to submit a file that cannot fit in the limits to attach through the portal, the CRC must contact their Customer Service Manager.

Portal Support

Additional information on using the portal can be accessed at the [Common Portal FAQs](#) on the business.gov.au website. If you have any further questions regarding the portal contact your Customer Service Manager in the first instance.

6. Quarterly Reporting

CRCs are required to provide quarterly reports for each quarter in which they are active. If the CRC is not operational for a full three month period, a report is still required. The standard quarterly report periods is every three months in any one financial year: Q1 - July to September; Q2 - October to December; Q3 - January to March; and Q4 - April to June.

Quarterly Reporting documentation must be submitted within 30 days of the end of each quarter (i.e. end of October - Q1; January - Q2, April - Q3 and July - Q4). Acceptance of quarterly reports are based on the information provided for the quarter in accordance with the expectations of the Grant Agreement. In summary quarterly reports must:

- Include details of CRC progress towards completion of agreed project activities
- Show the total project value to date, including a breakdown of:
 - The total eligible expenditure incurred
 - The total special purpose expenditure incurred
 - Cash and In-kind contributions to the project
 - Milestone status, including comments
- Include additional information, if requested
- Be submitted by the report due date (reports can be submitted within the month prior to the report due date if completed).

Reporting Components

The minimum quarterly reporting requirements comprise of:

- Completing all of the text response fields within each section page of the portal.
 - **Note:** the small blue round 'information button' within each section page question provides the character limit for that response field.
- Uploading the Detailed Progress Reporting spreadsheet within the attachments section page of the portal (see Section 4.2).

A summary of the information required within the relevant portal reporting section pages is below.

Project Progress (Page 2)

- A brief summary of the CRC's progress during the reporting period including any significant achievements.
- Any real or potential challenges or issues, and the likely impact on the CRC's overall ability to achieve its proposed outcomes.

Project Budget Page (Page 3)

- If CRC budget on target and in accordance with the current approved budget.
- The CRC's cash balance at the end of the reporting period - providing comments, if relevant.
- Any additional financial assistance from another government source for, or in connection with, CRC activities contracted under the Grant Agreement.
- Any adjustments to expenditure reported in previous periods.
- Whether Partner contributions (Cash, FTE and NSIK) are on target and in accordance with the current approved schedule of contributions

Other matters (Page 4)

- Information or comments on any issues which may require action or affect the compliance with the Grant Agreement, including:
 - Proposed changes to Specified Personnel or Partners
 - Potential national security concerns
 - Any additional/new risk factors that will influence the likelihood of the CRC successfully achieving its outcomes
 - The need for a Contract Variation to the Grant Agreement
 - Any upcoming media opportunities e.g. announcements, releases or publications.

Bank Account (Page 5)

- Notifying the department if the CRC bank details have changed.

Attachment Uploads (Page 6)

- Detailed Progress Reporting spreadsheet (Mandatory), covering the CRC's budget, contributions and milestone progress during the report period.
- Additional documents (Non Mandatory), additional information can be provided to support the report through this attachment (i.e. media articles, graphs, pictures, published reports related to the CRC activities). Additionally, if a CRC is requested to provide additional information as part of the report, this can be uploaded through this attachment as well.

Declaration (Page 7)

- A declaration that all the statements within the report are accurate, complete and not misleading.

Detailed Progress Reporting spreadsheet

Financial information and milestone progress for the reporting period must be provided via the relevant excel Detailed Progress Reporting spreadsheet provided by the department. This tool collects information consistent with the budget and milestone tables in the Grant Agreement and provides a cumulative record of partner contributions, budget reporting, and

milestone progress for each quarter over the life of the CRC's grant funding period. It forms the basis of the departmental assessment and grant payment approval and, as such, it is crucial this spreadsheet is accurately maintained.

The excel progress spreadsheet contains three reporting tabs to be updated each quarter:

- Contributions Progress tab
- Budget Progress tab
- Milestone Progress tab

Note: cash values can only be entered as positive whole numbers. Any corrections required to previously reported figures should be discussed with your Customer Service Manager, in the first instance.

A general summary of the information required within the relevant reporting tabs is below.

Contributions Progress tab

The Contributions Progress tab captures contributions received by the CRC from its partners each quarter including Cash, FTE, FTE Value and NSIK. At a high level the main reporting areas are split into 3 areas:

- Grand Total Figures - by type, partner total figures by type (Part A and B) and total third party contributions. Third Party commitments include all contributors not listed at Part A or Part B.
- PART A - represents all signed partners named in the relevant partner schedule of the CRC's current Grant Agreement and commitments over time.
- PART B - represents signed partners not yet named in the CRC's current Grant Agreement and will form part of the next Variation of your CRC's Grant Agreement. Once a variation is prepared, partners listed at Part B will be transferred into Part A, as signed partners named in the relevant partner schedule of the CRC's current Grant Agreement.

Note: for departmental monitoring purposes, the date a partner is Active means the date of execution of the Grant Agreement or subsequent Variation in which the partner was first named. This information is auto filled from your current Grant Agreement. The date a partner is Active in the Grant Agreement will generally be different to the date the partner signed a Partners Agreement with the CRC.

Budget Progress tab

The Budget Progress tab is a cash (not accrual) report to track income and expenditure for the activities set out in the Activities Schedule and budgeted through the Budget Schedule of the Grant Agreement. No other income or expenditure for the CRC can be reported.

Note: advice on eligible expenditure for CRCs can be found in the CRC Program guidelines relevant to each CRC Grant Round. It is essential that CRCs and their auditors understand the eligible expenditure requirements because these determine whether, and the extent to which, certain costs are reportable and claimable.

The expenditure reported in the Budget Progress tab must represent actual 'eligible expenditure' paid on the project during that period.

Milestone Progress tab

The Milestone Progress tab captures the CRCs progress against each active milestone during the reporting period. At a high level the main reporting areas are split into 3 areas:

- Milestone Status - update the milestone statuses for each milestone by selecting the appropriate status from the drop down list.

- Milestone Percentage Status - update the percentage complete statuses for each relevant milestone, recording the milestone progress as a whole number percentage.
- Milestone Progress Comments - provide comments on the milestone progress for the relevant quarter. If a milestone is delayed, provide strategies for completion and any steps being undertaken to achieve the milestone in the proposed timeframe or to manage the impacts of delays. Depending on the nature of the delay (i.e. critical), this information should also be reported in the portal section of the quarterly report or added as an attachment to provide a comprehensive report on delays and mitigation strategies to address the issues.

Payment of Funding

The Commonwealth will pay the quarterly payment within 30 days of receipt of a compliant/satisfactory report subject to departmental acceptance and approval and the CRC meeting all its obligations under the Grant Agreement.

7. Annual Reporting

CRCs are required to provide all annual reporting documentation for each year in which they are active by 30 October following the financial year of reporting (1 July to 30 June).

The Annual Report has a number of purposes, including:

- Providing a basis for making future CRC Grant payments
 - **Note:** the Q1 Detailed Progress Reporting spreadsheet must show marked audit adjustments (if any) for the previous financial year (see Section 4.2).
 - Demonstrating the CRC has fully met its obligations under the terms of its Grant Agreement over the financial year)
 - Providing a comprehensive summary of major CRC achievements/highlights within the financial year.

Under the terms of the Grant Agreement, no future grant payments will be processed until all annual reporting requirements have been completed and deemed satisfactory by the department. This includes, where relevant, the completion and submission of Final Reporting obligations (see Section 7) and/or any other reports as required by the department.

Reporting Components

The minimum annual reporting requirements comprise of:

- Completing all of the text response fields within each section page of the portal.
 - **Note:** the small blue round 'information button' within each section page question provides the character limit for that response field.
- Uploading the CRC Annual Report document within the attachments section page of the portal (see [Attachment A](#)).
 - **Note:** this reporting template does not prevent a CRC from producing an additional public facing annual report.
- Uploading the relevant Independent Audited Financial Statements within the attachments section page of the portal (see Section 5.2).
- Uploading the Management Data Questionnaire (MDQ) spreadsheet within the attachments section page of the portal (see Section 6).

A summary of the information required within the relevant portal reporting section pages is below.

Annual Report Summary (Page 2)

- Highlights and Achievements - a brief outline of the major achievements of the CRC and should be similar to an executive summary (i.e. concise, aimed at the general public, describing the CRC, its partners and purpose).
- Case Studies - at least one case study which highlights the CRCs achievements.
- Snapshot Summary - high level, concise dot point statements for key highlights/achievements in a number of key CRC Program objective categories.

Attachment Uploads (Page 3)

- CRC Annual Report document (Mandatory), using the prescribed template to provide additional evidence that the CRC has fully met its obligations under the terms of its Grant Agreement over the course of the relevant financial year reporting period.
 - **Note:** this reporting template does not prevent a CRC from producing an additional public facing annual report.
- Independent Audited Financial statements (Mandatory), to provide evidence that the CRC has fully met its financial obligations under the terms of its Grant Agreement over the course of the relevant financial year reporting period.
- MDQ spreadsheet (Mandatory), to evaluate CRC outcomes, impacts and achievements to measure overall CRC Program performance.
- Additional documents (Non Mandatory), additional information can be provided to support the report through this attachment (i.e. media articles, graphs, pictures, published reports related to the CRC activities). Additionally, if a CRC is requested to provide additional information as part of the report, this can be uploaded through this attachment as well.

Declaration (Page 4)

A declaration that all the statements within the report are accurate, complete and not misleading.

Audit requirements

Audited financial statement on the financial tables

The audited financial statement on the financial tables, to be provided as part of the annual reporting, must comply with the audit guidelines as specified in the relevant Grant Agreement.

The financial information provided in the financial tables must include the income and expenditure to undertake the Activities as specified in the Grant Agreement. Income and expenditure must be reported on a cash basis.

The reporting of cash income must be consistent with the quarterly reports submitted for the financial year, with adjusted figures to be provided and explained.

A scanned copy of the **audited financial statement on the Budget Progress and Contributions Progress tabs of the CRC's Budget and Milestones Progress reporting spreadsheet** (signed and dated) must be provided.

Audited financial statement on the CRC company/CRC

A scan of the signed original audited statement of the financial position of the CRC Company or CRC (as applicable) must be provided as part of the annual reporting. This must be an overarching report covering the financial position for the CRC as a whole (i.e. both the CRC's activities as specified in the Grant Agreement, and all other activities undertaken by the CRC).

Audit Guidance (for Rounds 20 and prior)

CRCs must provide an audited financial statement in respect of the financial year, or part thereof, indicating the sources of funding (whether in the form of cash or in-kind) for the activities of the CRC, as specified in the Grant Agreement, and the application of funding to each head of expenditure (i.e. an audited statement on the CRC financial tables). The audit guidance and requirements for Rounds 20 and prior CRCs is at [Attachment B](#).

Audit Guidance (for Rounds 21 and above)

CRCs must provide an independent audit report at the end of each financial year. The Grant Agreement details the audit requirements and includes templates to be completed to ensure compliance is met.

The scope of the audit statement required from a CRC must address a range of issues which are wider than a financial statement usually provided by an auditor. CRCs should request their 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 Grant Agreement.

A CRC'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 to ensure the auditor is able to provide a statement meeting the Commonwealth's requirements. Accordingly, the CRC must provide its auditor with a copy of the current Grant Agreement with the latest variations approved by the Commonwealth.

Management Data Questionnaire (MDQ)

CRCs are required to provide MDQ data as part of Annual Reporting (see Section 5). It must be completed using the MDQ spreadsheet provided and be consistent with the information provided in the written Annual Report.

The purpose of the MDQ is to capture the activities of each CRC relating to Research, Intellectual Property, Education and Collaboration during each financial year (i.e. from 1 July to 30 June) of the CRC's grant funding period. This information and data is linked to the three key objectives of the CRC Program, which are to:

- foster industry-led collaborative research addressing industry's applied research needs
- encourage long term industry-research sector collaborations and
- improve the competitiveness, productivity and sustainability of Australian industries.

MDQ data is used to assess program-wide performance and inform members of parliament, government agencies, industry, universities and international organisations on the annual key performance outcomes of the CRC Program. Detailed instructions and guidance to complete the MDQ are provided in the MDQ spreadsheet. The MDQ spreadsheet for each relevant financial year is available from your Customer Service Manager or the CRC Grants webpage at business.gov.au.

In summary, MDQ questions relate to:

- Research
 - Formal Research publications (number) and end-user publications and reports (number)
 - Engagement in research and development (FTE number of professional research staff, technical/other staff, postgraduate students)
 - [Science and Research Priorities](#) (percentage of Activity contributing to each of the nine Science and Research Priorities).
- Intellectual Property (IP)

- IP held by the CRC and its partners (number of patents and plant breeder’s rights; number of other IP; number of active Licences/Options/Assignments; income from LOAs)
- Material transfer agreements and direct sales (number and gross contract value of material transfer agreements and direct sales)
- Spin-off companies (number of spin-off companies; number of patents and plant breeder’s rights from operational spin-off companies; income from spin-off companies).
- Education
 - Equivalent full-time student load (EFTSL) of students working for their Doctorate by Research, Masters by Research, Honours and other postgraduate qualifications (number)
 - Graduate employment destination after completing postgraduate qualifications (number taking up employment with industry)
 - Other education activities (number of non-university students engaged in formal education activities including TAFE, VET etc. courses).
- Collaboration
 - Domestic collaboration (organisation name, participation type, organisation type, sector type, nature of collaboration)
 - International collaboration (organisation name, participation type, sector type, country, nature of collaboration)
- Other
 - Other financial assistance / grants (number and value by government-funded, industry-funded, research sector-funded, or private not-for-profit funded)
 - Contracts, consultancies and direct sales – other activities (number and gross contracted value of consultancies, contracts and direct sales of other activities).

Confidentiality of MDQ data

CRCs should be aware information collected through the MDQ can be aggregated for publication by the Commonwealth and may be used for reporting purposes to promote the program. The Commonwealth will seek the CRC’s permission prior to the use of sensitive data.

8. Final Reporting

CRCs must provide a Draft End of Funding Summary report in the second last year of their funding period and an updated End of Funding Summary report in the final year of their funding period in relation to the whole of life operation and activities of the CRC.

The objectives of the summary reports are to ensure the CRC:

- Fully meets its obligations under the terms of its Grant Agreement (e.g. completing all of its activities by the end of the agreement period and completing all of its financial obligations)
- Fully meets its obligations in terms of its agreements between its partners (e.g. Partner Agreements)
- Has in place mechanisms to protect the interests of its partners, personnel and students
- Demonstrates how the Commonwealth funding has supported its achievements, the impact of its work and the benefits to Australia.

Note: information contained in the End of Funding Summary reports can be used to inform the Minister, the CRC Advisory Committee, the department and the general public about the performance of individual CRCs. It may also be used as part of any evaluation of the impact of the CRC Program as a whole.

Draft End of Funding Summary Reporting Components

The minimum Draft End of Funding Summary reporting requirements comprise of:

- Completing all of the text response fields within each section page of the portal.
 - **Note:** the small blue round ‘information button’ within each section page question provides the character limit for that response field.
- Uploading the Grant Completion Report within the attachments section page of the portal (see [Attachment C](#)).
- Uploading the Highlights and Achievements Report within the attachments section page of the portal.

A summary of the information required within the relevant portal reporting section pages is below.

Draft End of Funding Summary (Page 2)

- [Contact Details](#) - CRC staff member who can be contacted after the CRC Grant funding period.
- [Whole of life Highlights and Achievements](#) - This section must provide a brief outline of the major achievements of the CRC in relation to: Research and collaboration (including SME engagement); Commercialisation and utilisation; and Education and training. The portal overview should be similar to an executive summary (i.e. concise, aimed at the general public, describing the CRC, its partners and purpose).
- [Whole of life Case studies](#) - The CRC must include at least one case study which highlights its achievements. The case study should outline the successful commercialisation/utilisation of research outputs and how partners have worked together, leading to an impact which would not have been achieved without the CRC collaboration. Where possible, relevant examples, including quotes, should be included from partners and other industry entities benefiting as a result of their involvement in the CRC.
- [Whole of life Snapshot Summary](#) - This section must provide high level, concise dot point statements for key highlights/achievements in the following categories, where applicable: Major achievements; Research; Commercialisation and utilisation; SME engagement; Education and training; Spin-off companies and inventions and International engagement. The information provided in the ‘snapshot’ may be used for input into government briefings; as such it should clearly demonstrate a CRC’s achievements in plain English.

Attachment Uploads (Page 3)

- [Grant Completion Report](#) (Mandatory), which covers the CRC’s strategy to complete all of its activities and financial obligations prior to the end of the CRC Grant funding period.
- [Highlights and Achievements Report](#) (Mandatory), which provides further detail to the CRC’s main highlights and achievements over life of the CRC Grant funding period.
 - **Note:** this document should be similar to the portal overview summary, however CRCs must provide further details of their major achievements including: any awards and special commendations; any key events, such as conferences, appointments of key staff or purchase of major equipment; and an overview of actions taken as a result of any internal or external reviews. CRCs are encouraged to include any other relevant information (i.e. diagrams, images and graphs/tables) demonstrating its achievements and impacts.
- [Additional documents](#) (Non Mandatory), additional information can be provided to support the report through this attachment (i.e. media articles, graphs, pictures, published reports related to the CRC activities). Additionally, if a CRC is requested to provide additional information as part of the report, this can be uploaded through this attachment as well.

Declaration (Page 4)

A declaration that all the statements within the report are accurate, complete and not misleading.

End of Funding Summary Reporting Components

The minimum End of Funding Summary reporting requirements comprise of:

- Completing all of the text response fields within each section page of the portal.
 - **Note:** the small blue round ‘information button’ within each section page question provides the character limit for that response field.
- Uploading the Grant Completion Report within the attachments section page of the portal (see [Attachment C](#)).
- Uploading the Highlights and Achievements Report within the attachments section page of the portal.

The End of Funding Summary Report must incorporate responses to any previous feedback provided by the department and detail any deviations/changes from the previous year’s Draft End of Funding Summary report.

A summary of the information required within the relevant portal reporting section pages is below.

Draft End of Funding Summary (Page 2)

- Contact Details - CRC staff member who can be contacted after the CRC Grant funding period.
- Whole of life Highlights and Achievement - This section must provide a brief outline of the major achievements of the CRC in relation to: Research and collaboration (including SME engagement); Commercialisation and utilisation; and Education and training. The portal overview should be similar to an executive summary (i.e. concise, aimed at the general public, describing the CRC, its partners and purpose).
- Whole of life Case studies - The CRC must include at least one case study which highlights its achievements. The case study should outline the successful commercialisation/utilisation of research outputs and how partners have worked together, leading to an impact which would not have been achieved without the CRC collaboration. Where possible, relevant examples, including quotes, should be included from partners and other industry entities benefiting as a result of their involvement in the CRC.
- Whole of life Snapshot Summary - This section must provide high level, concise dot point statements for key highlights/achievements in the following categories, where applicable: Major achievements; Research; Commercialisation and utilisation; SME engagement; Education and training; Spin-off companies and inventions and International engagement. The information provided in the ‘snapshot’ may be used for input into government briefings; as such it should clearly demonstrate a CRC’s achievements in plain English.

Attachment Uploads (Page 3)

- Grant Completion Report (Mandatory), which covers the CRC’s strategy to complete all of its activities and financial obligations prior to the end of the CRC Grant funding period.
- Highlights and Achievements Report (Mandatory), which provides further detail to the CRC’s main highlights and achievements over life of the CRC Grant funding period.
 - **Note:** this document should be similar to the portal overview summary, however CRCs must provide further details of their major achievements including: any awards and special commendations; any key events, such as conferences, appointments of key staff or purchase of major equipment; and an overview of actions taken as a result of any internal or external reviews. CRCs are encouraged to include any other relevant information (i.e. diagrams, images and graphs/tables) demonstrating its achievements and impacts.

- Additional documents (Non Mandatory), additional information can be provided to support the report through this attachment (i.e. media articles, graphs, pictures, published reports related to the CRC activities). Additionally, if a CRC is requested to provide additional information as part of the report, this can be uploaded through this attachment as well.

Declaration (Page 4)

A declaration that all the statements within the report are accurate, complete and not misleading.

9. Evaluation Reporting (post project)

The Evaluation Report is a post project evaluation survey which should be undertaken approximately 12 months after the end date of the CRC's Grant Agreement funding period.

Note: the survey submission request will be sent, via the portal, to the nominated 'Post-CRC contact' which is provided within the 'End of Funding Summary' report. This is the CRC staff member who is responsible for managing the cessation of operations process and who can be contacted after the Grant Agreement funding period (see Section 7).

The completion of the survey is independent of a CRC's payment and/or formal reporting obligations under the Grant Agreement. The purpose of a survey is to gather important evaluative information on the CRC and the CRC Program as a whole.

The following questions covered in the post project survey include:

- Are you satisfied with the benefits received from participating in the CRC Program through a CRC?
- List up to three key benefits you received from participating in the CRC Program through a CRC.
- Did the CRC develop a product, service or process that solved the industry-identified problem?
- Has the CRC led to broader economic or community benefits, such as risk mitigation, growth in employment, reduction in costs, and capability enhancement?
- How many CRC industry partners reported they valued their involvement with the program?
- How many CRC Industry partners reported collaboration has improved competitiveness and productivity?
- What is an example of the way collaboration has improved competitiveness and productivity for an industry partner (i.e. job creation, sales, and export sales)?
- How many CRC related collaborations extended beyond the Agreement Period?
- How many internships and secondments between the CRC's partners extended beyond the Agreement Period?
- Did any unexpected benefits result from the CRC? If yes, explain

Attachment A - CRC Annual Reporting Template

The annual report content for each relevant financial year must be consistent with the information provided in the audited financial statements, the Detailed Progress Reporting spreadsheet (noting any audit adjustments should be marked in the CRC's Q1 report for the next financial year), and the MDQ.

This CRC Annual Report Template will provide supplementary information required by the department as part of the annual reporting requirements and must cover the following section headings:

- Risks and impediments
- Education and training
- Intellectual property (IP) management
- CRC future plans and transition arrangements
- Additional comments (if appropriate only).

Once completed, this template must be uploaded through the portal as part of the annual reporting submission. There are no word limitations for this document, noting each section heading should be addressed succinctly.

Note: CRC reporting information provided to the department is treated as sensitive (not for public release), unless otherwise stated (e.g. Case Studies and Highlights and Achievements). It is up to the CRC to decide if and how it wishes to publish an annual report for public release.

A summary of the information required within the relevant CRC Annual Reporting section headings is below.

Risks and impediments

This section must provide information on any risks and impediments the CRC experienced during the reporting period impacting on the achievement of the CRC's outputs or on its ability to achieve the expected outcomes. It must also provide a description of the mitigation strategies the CRC has adopted to address these risks and impediments.

Education and training

A table of all CRC PhD students with the commencement date, expected completion date, research program the student is under, project title, host research institution and the student's country of origin must be provided.

PhD student	Commencement date	Expected completion date	Research program	Project title	Research institution	Student's Country of Origin

Intellectual property (IP) management

This section must outline the strategies and processes adopted by the CRC during the reporting period to identify, protect and manage the IP generated by the CRC, including IP management arrangements.

CRC future plans and transition arrangements

This section should contain a summary which describes the CRC's future plans and its transition arrangements for any post-CRC Program activity (after Commonwealth Funding has ceased). Specifically:

- Where partners and other stakeholders see value in continuing some or all of a CRC's activities beyond the agreement period or
- Where a CRC chooses not to continue as an ongoing entity beyond the agreement period.

Regardless of the future path chosen by a particular CRC, it is required to ensure its outputs have been identified and plans are in place to maximise these outputs into the future. Therefore, transition arrangements should reflect the CRC's strategy for maximising the utilisation of its outputs by the collaboration and identifying the CRC's legacy. The department recognises transition arrangements may initially contain limited detail but would progressively increase in detail as the CRC moves to exit the CRC Program.

If dissolving or deregistering the CRC at the end of the agreement period is the most appropriate course of action for partners to take, CRCs must take into account provisions in its Partner Agreement and Company Constitution when addressing CRC activities whilst ceasing operations. Chapter 5A of the Corporations Act 2001 and the Australian Securities and Investments Commission website (www.asic.gov.au) provide useful information about deregistering a company.

Additional comments (if appropriate only)

Any other additional information in relation to the activities of the CRC this financial year.

Attachment B – Audit Guidance (for Round 20 and prior)

The audit must be conducted by a qualified accountant and the statement must include an opinion on all items in the attached template. A qualified accountant, for the purpose of these guidelines, is defined as:

- 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; who is independent of the CRC partners and the management of the CRC and free of any business or other relationship that could materially interfere with the exercise of their judgement.

Given the size and structure of CRCs, it would be considered best practice to use **a registered company auditor**.

The scope of the audit statement required from a CRC must address a range of issues which are wider than a financial statement usually provided by an auditor. CRCs should therefore request their 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 Grant Agreement.

A CRC'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 to ensure the auditor is able to provide a statement meeting the Commonwealth's requirements. Accordingly, the CRC must provide its auditor with a copy of the current Grant 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. The auditor must address a number of issues which are set out in the Grant Agreement. The following template for the auditor's statement have been included with these Guidelines to assist the auditor to satisfy the audit requirements of the CRC under the Grant Agreement. Using the template is not a requirement, however, the statement must cover all areas outlined in the template and be signed and dated.

Template for the Auditor's Statement

Auditor's Statement

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 5 and in accordance with the terms of the Grant Agreement. *[If not, please list in a table, actual contributions which are more than 10% less than the contracted amount set out in the Grant Agreement and briefly describe the variation.]*
2. In accounting for Commonwealth Funding and contributions, the CRC has exercised proper accounting standards and controls (clause 10.4 (a)). *[If not, please list and provide comment on exceptions.]*
3. The CRC has met its obligations to the Commonwealth in relation to capital items (clause 10.2(a)). *[If not, please list and provide comment on instances in which these obligations have not been met.]*
4. The cash contributions and Commonwealth Funding have been paid into and expended from the CRC's Account, in accordance with the Grant Agreement, and all interest on the balance of the Account has been credited to the Account (clause 10.4). *[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 clause 12.2 and 12.3 present fairly that the: Commonwealth Funding and the contributions have been expended solely for the activities and in accordance with Schedule 5 of this contract and Australian accounting concepts and applicable Australian standards; and all transactions for the activities as specified in Schedule 2 have been conducted through the Account.

Signature:

Name:

Date:

Company:

Attachment C – Grant Completion Report Template

CRCs are required to develop a strategy to complete all activities and financial obligations well in advance of the end of the agreement period. A Grant Completion Report must be submitted in the second last year of funding (Draft End of Funding Summary) and updated in the final year following completion of the CRC Grant funding activities (End of Funding Summary).

Both the 'Draft End of Funding Summary' and 'End of Funding Summary' reports provide supplementary information required by the department as part of the Final Reporting requirements (in line with the CRC Grants Reporting Guidelines) and must cover the following section headings:

- Governance and Management
- Post-CRC contact details
- Activities Status (research, commercialisation/utilisation, education and training)
- Financial Management and Budget Provisions
- Management of Intellectual Property (IP)
- Assets
- Taxation
- Use of CRC Program Branding (Post Project)
- Any other issues as directed by the department.

Once completed, this template must be uploaded through the portal as part of the Final Reporting submission process for both the 'Draft End of Funding Summary' and 'End of Funding Summary' reports. There are no word limitations for this document, noting each section heading should be addressed succinctly.

Note: as part of the CRCs' ongoing governance arrangements, CRCs should have already examined how any of their 'legacies' will be dealt with and/or maintained. For example, how/will outcomes generated by a CRC be continued and how/will any education and training programs developed by the CRC be kept going. The details of such legacies must be summarised in the CRC's future and transition arrangements within the 'CRC Annual Reporting' Template at [Attachment A](#).

A summary of the information required within the relevant Grant Completion Report section headings is below.

Governance and Management

This section covers the CRCs arrangements after the end of the Grant Agreement funding period and addresses how the board of the CRC will:

- Ensure all partners are aware of their roles and responsibilities
- Ensure appropriate management resources are in place to complete all obligations under these Guidelines and the Grant Agreement
- Ensure appropriate arrangements for the transition of human resources funded by the CRC are in place
- Ensure appropriate arrangements for the planned future of any incorporated entities controlled by the CRC, such as management companies and IP holding vehicles
- Ensure the appropriate storage and archival of documentation with relevant parties, particularly contract material, so it is accessible by the Commonwealth for a period of at least seven years.

This section must also detail the planned future of any incorporated entities controlled by the CRC, such as management companies and IP holding vehicles.

Note: CRCs are eligible to have the contents of their public websites archived at no cost using the PANDORA web archive project (pandora.nla.gov.au) administered by the National Library of Australia (NLA) and state libraries. The NLA's Web Archiving Section can be contacted at webarchive@nla.gov.au.

Post-CRC contact details

The CRC must include contact details for at least one CRC staff member responsible for managing the cessation of operations process and who can be contacted after the agreement period to assist the department with any outstanding reporting requirements or information requests. Post-CRC contact details must be provided in the following table format.

Name	Phone	Mobile	Email	Address	Comments

Activities Status

A CRC must complete all of its activities by the end of the agreement period. This section must identify the status of all activities outlined in the Grant Agreement being:

- Completed or terminated at the end of the agreement period
- Continued by partners on a cooperative basis for further development and future uptake by industry (including commercialisation)
- Transferred to a partner or other organisation for further development and future uptake by industry (including commercialisation).

The CRC must ensure alternative arrangements are in place to provide ongoing support to CRC students who are yet to complete their research education and training.

Status of all milestones and outputs must be provided in the following table format.

Outputs yet to be completed / milestones yet to be achieved	Expected status at end of agreement period (completed / terminated / transferred)	If transferred, organisation(s) responsible for ongoing activities after the agreement period

Status of all CRC students must be provided in the following table format.

Student name	Degree type	Expected completion date	Enrolling / Partner organisation

Financial Management and Budget Provisions

This section must ensure the following financial management and budget activities are addressed:

- Finalising the accounts, including the processing of:
 - Any outstanding payments/debts
 - Salaries, employee entitlements and administrative overheads for staff retained to undertake cessation of operation activities
 - Legal costs

- Taxes due
- Unpaid scholarship monies
- Acquittal of Commonwealth funds (for the entire term of Grant funding)
- Expected allocation of any remaining CRC funds
- Completion of an independent audit of the CRC’s financial statements for its final year of operation in line with the relevant CRC Grants Reporting Guidelines.

A summary of the information required within the Financial Management and Budget Provisions section is below.

Final Year Prospective Budget

It is important to consider all expenses arising before ceasing operations and budget accordingly. This section must include a cash budget for the final year of the agreement period. This should indicate whether there will be a cash balance as at 30 June of the final year of funding and how the CRC would like to distribute this cash.

Note: Department approval must be sought in regards to the use of any unspent CRC Program funds after the funding period for purposes outside of the CRC activities.

This final year cash budget must be presented in the following table format:

Cash Budget for Final Year of Operation (for Rounds 17 -19)

Opening balance	\$
<i>Income</i>	
CRC Program grant	\$
Other income	\$
Total income	
Total resources (opening balance + total income)	\$
<i>Expenses</i>	
Employee expenses	\$
Supplier expenses	\$
Other expenses	\$
Capital expenditure	\$
Total expenses	\$
Net balance	\$
Accrued expenses	\$
Remaining funds	\$
Remaining CRC Program funds	\$

Cash Budget for Final Year of Operation (for Rounds 20 and 21)

Opening balance	\$
<i>Income/receipts</i>	
CRC Program grant funds	\$
Partner/Participant Cash Contributions	\$
Other Firm/Third Party Cash	\$
Total GST Received	\$
Total Interest	\$
Total receipts	\$
<i>Expenses</i>	
<i>Total GST Paid</i>	\$
<i>Labour and on-costs</i>	\$
<i>Contract</i>	\$
<i>Capital</i>	\$
<i>IP & Technology</i>	\$
<i>Travel & Overseas</i>	\$
<i>Audit</i>	\$
<i>Student expenses</i>	\$
<i>Other</i>	\$
Total expenses	\$
Net balance	\$
Accrued expenses	\$
Remaining funds	\$
Remaining CRC Program funds	\$

Cash Budget for Final Year of Operation (for Rounds 22 and above)

Opening balance	\$
<i>Income/receipts</i>	
CRC Program grant funds	\$
Partner/Participant Cash Contributions	\$
Other Firm/Third Party Cash	\$
Total GST Received	\$
Total Interest	\$
Total receipts	\$
<i>Expenses</i>	
<i>Total GST Paid</i>	\$
<i>Labour and on-costs</i>	\$
<i>Contract</i>	\$
<i>Capital</i>	\$
<i>IP & Technology</i>	\$
<i>Travel & Overseas</i>	\$
<i>Audit</i>	\$
<i>Student expenses</i>	\$
<i>Other</i>	\$
<i>Special Purpose Expenditure</i>	\$
Total expenses	\$
Net balance	\$
Accrued expenses	\$
Remaining funds	\$
Remaining CRC Program funds	\$

Intention for use of all remaining CRC funds (for all Rounds)

Organisation Receiving Funds	Purpose	Transfer Amount
		\$
Total		\$

Note: Commonwealth funding is provided to the CRC to undertake the activities and objectives as agreed in the Grant Agreement. After the end of the agreement period, the Grant Agreement states the Commonwealth is entitled to recover any unspent grant funds, unless otherwise approved by the Commonwealth. Please contact your Customer Service Manager if you require further guidance.

Management of Intellectual Property (IP)

The CRC must ensure structures and procedures are in place to safeguard the ongoing management of the CRC's IP, including any assignment for commercialisation or further development and distribution of any commercial returns.

The IP must be distributed in a way which maximises the benefits to Australia, in compliance with the arrangements specified in the Grant Agreement and Partner Agreement(s). Where the IP has no tangible commercial potential, research results must be disseminated to appropriate parties to ensure effective transfer of technology and utilisation of research in compliance with the Partner Agreement(s). The CRC should consider the use of open access arrangements for non-commercially sensitive material.

The information must be provided in the following table format and include the name, description, future ownership arrangements and associated rationale for each item of IP.

Item of IP	Description of IP	Ownership arrangements after the end of the agreement period	Rationale

This section must also outline how the CRC will manage and monitor the project risks, including any associated national security issues and involvement of international partners, as well as intellectual property protection following the wind-up or cessation of operations of the CRC.

Assets

Unless allowed for in the Grant Agreement, the CRC must ensure any asset valued at \$50,000 (excluding GST) or above is not disposed of without the Commonwealth's consent/approval.

The information must be provided in the following table format and include the name, description, future ownership arrangements and associated rationale for each asset.

Asset	Description of asset	Ownership arrangements after the end of the agreement period	Rationale

Taxation

The CRC must include information on its tax position. Specifically, to ensure all taxation expenses are accounted for and the tax position of the CRC is confirmed with the Australian Tax Office before ceasing operations.

Use of CRC Program Branding (Post Project)

CRCs have a non-exclusive licence to use CRC Program Branding until the termination or expiration of their Grant Agreement. CRCs must cease using CRC Program Branding, except where acknowledgement of support is required where the publications, products, processes or inventions are not released or developed until after the CRC Grant funding period.

Written approval is required (prior to the CRC Grant Agreement end date) for CRCs to continue to use the CRC Program Branding (i.e. CRC logo and name) after the CRC Grant funding period. Approval for the ongoing use of CRC Program Branding is reviewed on a case-by-case basis and CRCs will be required to sign an agreement with the department stipulating the conditions on the use of the branding.