

**NATIONAL COLLABORATIVE RESEARCH
INFRASTRUCTURE STRATEGY (NCRIS)**

INVESTMENT FRAMEWORK

April 2006

1. INTRODUCTION

1.1. Background

- 1.1.1 The Government announced in 2004 that the National Collaborative Research Infrastructure Strategy (NCRIS) would be implemented to provide greater strategic direction to Australia's investment in research infrastructure.
- 1.1.2. NCRIS forms part of the Government's innovation package, *Backing Australia's Ability: Building Our Future through Science and Innovation*. NCRIS will build on the improvements to infrastructure achieved under the Strategic Infrastructure Initiative and Major National Research Facilities programme to ensure Australia receives the best possible return on its research infrastructure investment.
- 1.1.3. NCRIS funding will support the development and implementation of collaborative investments that are designed to meet the strategic infrastructure needs of researchers across the country.
- 1.1.4. In identifying areas for infrastructure investment, the Government will be guided by the NCRIS Roadmap that was released by the Minister for Education, Science and Training on 28 February 2006. The Roadmap identifies the highest priority areas of research capability for funding under NCRIS, and sets out the sequence and timing for addressing those areas.
- 1.1.5. The Minister has asked the NCRIS Committee, chaired by Dr Mike Sargent AM, to advise the Government on the ongoing implementation, monitoring and review of NCRIS.
- 1.1.6. This Investment Framework describes the processes that the Department of Education, Science and Training (DEST) and the NCRIS Committee will use to facilitate the development of investments relating to the capability areas specified in the Roadmap.
- 1.1.7. This Investment Framework is **not a call for proposals**.

1.2. Key Principles

- 1.2.1. The key principles underpinning NCRIS, as set out in the NCRIS Roadmap, are that:
 - Australia's investment in research infrastructure should be planned and developed with the aim of maximising the contributions of the research and development system to economic development and social wellbeing;

- Infrastructure resources should be focussed in areas where Australia is, or has the potential to be, world-class (in both discovery and application driven research) and provide international leadership;
- Major infrastructure should be developed on a collaborative, national, non-exclusive basis. Infrastructure funded through NCRIS should serve the research and innovation system broadly, not just the host/funded institutions. NCRIS funding should encourage collaboration and co-investment among universities, government, independent and private sector research organisations. It should not be the function of NCRIS to support institutional level (or small-scale collaborative) infrastructure;
- Access is a critical issue in the drive to optimise Australia’s research infrastructure. In terms of NCRIS funding there should be as few barriers as possible to accessing major infrastructure for those undertaking meritorious research;
- Due regard should be given to the whole-of-life costs of major infrastructure, with funding available under NCRIS for operational costs where appropriate; and
- The Strategy should seek to enable the fuller participation of Australian researchers in the international research system.

1.3. NCRIS Roadmap

- 1.3.1. The NCRIS Roadmap has been developed to inform decisions on where Australia should make strategically important infrastructure investments to further develop its research capability. The NCRIS Roadmap is available on the Internet at:

http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/key_issues/ncris/

- 1.3.2. The Roadmap is a long term planning tool that will be updated in future years to reflect changing priorities and the emergence of new opportunities.
- 1.3.3. The Roadmap identifies and describes 16 priority areas of research capability that are recommended for support through NCRIS (see section 1.4 and Attachment A). The research capabilities in the Roadmap were selected on the basis of extensive consultation and expert advice and have been chosen for their strategic impact in terms of:
- Delivering national benefit through economic growth, the diffusion of knowledge, skills and know-how and contribution to increased social wellbeing;
 - Providing broad support for research in the National Research Priorities (NRPs) and the attainment of the NRP priority goals (see www.dest.gov.au for more information on NRPs);

- Producing world-class excellence in both discovery and application driven research; and/or
- Enhancing the overall capacity of the research and innovation system by providing enabling research platforms, promoting accessibility to research facilities and increasing research collaboration.

1.4. Outline of the Investment Framework

- 1.4.1. This Investment Framework should be read in conjunction with the NCRIS Roadmap.
- 1.4.2. The Roadmap identifies platforms for collaboration as one of the 16 priority research capability areas (see Attachment A). This infrastructure is central to sustaining the other capabilities identified in the Roadmap and Australia's research capability as a whole.
- 1.4.3. Investment requirements relating to platforms for collaboration will be consolidated by a facilitator during 2006, having regard to the infrastructure needs that emerge from the NCRIS investment plans for specific capability areas and input from the e-Research Coordinating Committee and other bodies that are tasked with providing advice on investments in this area.
- 1.4.4. Consistent with the recommendations of the Roadmap, the NCRIS Committee will immediately progress infrastructure investment in the following nine research capability areas:
 - Evolving biomolecular platforms and informatics;
 - Integrated biological systems;
 - Characterisation;
 - Fabrication;
 - Biotechnology products;
 - Networked biosecurity framework;
 - Optical and radio astronomy;
 - Integrated marine observing system; and
 - Structure and evolution of the Australian continent.
- 1.4.5. During 2006, the NCRIS Committee will work, through contracted facilitators or coordinating bodies, to develop a single investment plan for each of these nine capability areas.

- 1.4.6. The following two research capability areas require preliminary scoping or analysis before it would be feasible to proceed to the development of a detailed investment plan:
- Population health and clinical data linkage; and
 - Terrestrial ecosystem research network.
- 1.4.7. The NCRIS Committee will consult with relevant sections of the research community during 2006 to determine the best means of progressing the preliminary scoping or analysis needed in these two capability areas.
- 1.4.8. The following four research capability areas will be reviewed for possible implementation in a second round of investments that will be progressed in 2007:
- Translating health discovery into clinical application;
 - Heavy ion accelerators;
 - Low-emission, large-scale energy processes; and
 - Next generation solutions to counter terrorism and crime.

1.5. Funding Arrangements

- 1.5.1. A total of just over \$500 million in NCRIS funding is available over the five years 2006-07 to 2010-11.
- 1.5.2. Funding will be allocated to capability areas based on the strategic impact of the investment, taking into account the recommendations of the relevant investment plan.
- 1.5.3. This Framework does not mandate that project partners should provide any particular level of matching funding. However, it is expected that parties who stand to benefit from a project will provide significant co-investment based on their own assessment of the return, or value to their organisation, from such investment.

1.6 Next Steps

- 1.6.1. The initial group of facilitators (see sections 1.4.3 and 1.4.4) is expected to be announced in the near future via the DEST website.
- 1.6.2. Interested parties should work with the relevant facilitator to ensure that the resulting investment plan addresses their needs.
- 1.6.3. Progress with development of the plans can be monitored via the DEST web site. Where necessary, each facilitator will obtain approval from relevant parties before material is posted on the DEST web site.

1.7. Contact Details

1.7.1. Enquiries concerning the NCRIS Investment Framework should be directed to:

Greg Piko
Director
Research Infrastructure
Department of Education, Science and Training (DEST)
Phone 02 6229 4161

Email greg.piko@dest.gov.au

2. IMPLEMENTATION OF THE INVESTMENT FRAMEWORK

2.1 Platforms for Collaboration

- 2.1.1. Platforms for collaboration enable the research community to collect, share, analyse, store and retrieve information.
- 2.1.2. As noted in section 1.4.3 above, a facilitator will be appointed to consolidate the infrastructure needs in the capability area relating to platforms for collaboration.
- 2.1.3. The facilitator will be familiar with the relevant technologies and have the communication skills needed to liaise effectively with stakeholders in the sector. The facilitator will be external to DEST and report to the NCRIS Committee.
- 2.1.4. The facilitators developing investment plans for each of the other research capability areas will be required, as part of their task, to identify infrastructure requirements that will enable increased collaboration in their respective areas.
- 2.1.5. Relevant infrastructure requirements are also being identified by the e-Research Coordinating Committee and other bodies examining infrastructure needs that enable collaboration.
- 2.1.6. The platforms for collaboration facilitator will draw together the material noted in 2.1.4 and 2.1.5 and make recommendations to the NCRIS Committee on how these enabling infrastructure needs as a whole can be met in a way that is efficient.
- 2.1.7. In general, the role of the platforms for collaboration facilitator will be similar to that of the other facilitators. However, the work of the 'platforms' facilitator will be broader in scope and will need to be finalised after that of the other facilitators.
- 2.1.8. The NCRIS Committee will maintain an ongoing dialogue with the facilitator and relevant advisory bodies. This is expected to lead to initial investments in platforms for collaboration being progressed during 2006, and further infrastructure needs being identified in the longer term.
- 2.1.9. The Department of Education, Science and Training will support the activities of the facilitator via a formal agreement, which may provide for remuneration of the facilitator and other administrative and support costs.
- 2.1.10. Infrastructure that supports collaboration includes the following inter-related components:
 - Data storage management, access, discovery and curation to improve interaction and collaboration;

- Grid enabled technologies and infrastructure to enable seamless access to facilities and services required in various research fields;
- High performance computing to allow analysis, modelling and simulation; and
- High quality network access through high capacity bandwidth to permit interaction with diverse data and computing resources.

2.2. Nine Further Capability Areas

- 2.2.1. A single, collaborative investment plan that meets national infrastructure requirements and includes a detailed business case will be developed for each of the nine capability areas referred to in section 1.4.4. The investment plan will need to address comprehensively each of the investment criteria set out in Attachment B and detailed in Section 3 of this Investment Framework.
- 2.2.2. In some cases, the plan for a capability area may comprise investment in several discrete facilities that are managed separately. Nevertheless, the best outcomes will be achieved by considering such facilities as a package and exploring to the maximum extent possible the way in which, collectively, they can fulfil the national infrastructure needs of the relevant capability area described in the NCRIS Roadmap.
- 2.2.3. The development of each investment plan will be undertaken through a designated facilitator or coordinating body, external to DEST, and reporting to the NCRIS Committee.
- 2.2.4. In each case the facilitator will be a person who:
 - Is well known and connected in their respective fields and recognised as being capable of commanding respect as an ‘honest broker’; and
 - Has the organisational, communication and negotiation skills required to broker the development of an investment plan that will command high levels of support and engagement across their respective constituencies.
- 2.2.5. In some instances, an existing organisation may be identified that could co-ordinate the development of an appropriate investment plan. In such cases, rather than appoint a facilitator, the NCRIS Committee may choose to liaise directly with the co-ordinating body regarding the development of a plan.
- 2.2.6. It will be the responsibility of the facilitator to liaise with stakeholders to identify the infrastructure requirements in detail and develop an investment plan that addresses those needs.

2.2.7. It is expected that these facilitators will:

- Liaise with stakeholders including research institutions, state and territory governments, researchers, industry and other interested parties;
- Maintain an ongoing dialogue with a specified NCRIS Committee member who is nominated as the contact point for that capability area, and meet periodically with the full NCRIS Committee;
- Maintain an ongoing dialogue with DEST officials;
- Liaise with other facilitators to share information and identify linkages between capability areas;
- Document details of existing research infrastructure relating to the capability area;
- Identify enabling platform information infrastructure requirements associated with the capability area;
- Work with other interested parties to develop an investment plan; and
- Submit to the NCRIS Committee a comprehensive infrastructure investment plan that addresses the criteria set out in Attachment A and detailed in Section 3 of this Investment Framework.

2.2.8. The Department of Education, Science and Training will support the activities of these facilitators via formal agreements under which the following may be provided:

- funding of up to \$250,000 to support costs associated with the development of the investment plan. Eligible expenditure is likely to include remuneration of the facilitator, venue hire and catering for workshops, travel and meeting expenses for reference group meetings, provision of specialist business planning and independent legal input to the investment plan, the cost of administrative and drafting support and printing costs. Travel expenses for workshop attendees and per diem payments for stakeholders attending meetings are not eligible expenditure items;
- Access to documents, contact lists and other information that is relevant to the work of the facilitator, subject to any obligations of confidentiality or restrictions on use of personal information;
- Access to information and lessons learned as a result of the activities of other facilitators;
- Mechanisms and opportunities for each facilitator to liaise with other facilitators; and

- A web presence where details of events that are to be held and other relevant documents can be posted for public information. Where necessary, the facilitator will obtain approval from relevant parties before material is posted on the web site.
- 2.2.9. The aim is that the investment plans will be completed by September 2006 for consideration by the NCRIS Committee. If an investment plan is not finalised by December 2006 then it may be necessary to defer consideration of that capability area until the second round of investment plans is addressed in 2007.
- 2.2.10. The NCRIS Committee will assess each investment plan once it is finalised to determine whether, in the Committee’s opinion, it satisfactorily addresses the investment criteria set out in Attachment B and detailed in Section 3 of this Investment Framework.
- 2.2.11. In making this judgement, the Committee may seek additional advice including, but not limited to:
- Interviews with key personnel associated with the investment plan;
 - Expert scientific advice relating to the capability area;
 - Business, financial and/or legal advice; and
 - Advice from the e-Research Coordinating Committee (more information on the role of this Committee is available at www.dest.gov.au).
- 2.2.12. When the Committee has formed a judgement about the adequacy of a plan, it may:
- Recommend, via DEST in accordance with section 2.2.13, to the Minister for Education, Science and Training that the plan be funded;
 - Request that further work be undertaken on the plan; or
 - Take such other action as the Committee considers appropriate in the circumstances.
- 2.2.13. On receiving a recommendation for funding from the NCRIS Committee (that advice to be provided via DEST), the Minister will consider the advice, any opinion that DEST may have relevant to the recommendation, and all other information relevant to the recommendation (including the NCRIS Roadmap and this Investment Framework) and determine whether, or not, the investment plan should be funded.
- 2.2.14. Once the Minister has approved an investment plan, DEST will negotiate a funding agreement with the lead entity referred to in sections 2.5.1 and 3.3.9 for the implementation and ongoing operation and maintenance of the facility (or facilities). Among other things, the funding agreement

will provide that all funds, including interest earned on the funds provided, must be expended only on the project described in the agreement.

2.3 Preliminary Scoping of Two Further Capability Areas

- 2.3.1. Section 1.4.6 noted that two research capability areas require preliminary scoping or analysis before it would be feasible to proceed to the development of a detailed investment plan.
- 2.3.2. The NCRIS Committee will consult with relevant sections of the research community during 2006 to determine the best means of progressing the preliminary scoping or analysis needed in these two capability areas.
- 2.3.3. Where necessary, NCRIS will provide limited financial support for scoping and networking activities that lead to the development of a full investment plan.
- 2.3.4. Work on the plans themselves would be expected to commence later in 2006 or early in 2007. It is expected that further financial support would be provided, on similar terms to that described above for the other nine capability areas, to assist in the development of these two further plans.

2.4 The Remaining Four Capability Areas

- 2.4.1. As noted in section 1.4.8, four capability areas will be reviewed for possible implementation in a second round of investment plans that will be progressed in 2007.

2.5 General Conditions

- 2.5.1. Funding based on individual NCRIS investment plans will be provided under a funding agreement between the Commonwealth, represented by DEST, and the lead entity referred to in section 3.3.9 below. Funds will not be provided unless the relevant agreement has been finalised and commenced to have effect.
- 2.5.2. The lead entity will be contractually required to report on the progress and completion of the relevant Investment Plan, and acquit the funding, in accordance with the formal agreement established with the Commonwealth.
- 2.5.3. Where there is any discrepancy between the provisions of the formal agreement and this Investment Framework, the provisions contained in the formal agreement will take precedence.
- 2.5.4. No decisions should be made in anticipation of any funding agreement coming into effect until it has been signed by the Commonwealth and the lead entity. The Commonwealth will not be liable for any loss, cost or expense arising directly or indirectly from any such decision.

- 2.5.5. Other than through the agreement referred to in section 2.5.1 and agreements relating to facilitation or scoping (referred to in sections 2.1 to 2.3), the Australian Government will not in any circumstances compensate individuals or organisations for any costs associated with their participation in the arrangements described in this NCRIS Investment Framework.
- 2.5.6. Each facilitator will be required to declare any interest which could represent an actual or potential conflict of interest.
- 2.5.7. The Australian Government may vary or terminate implementation of the NCRIS programme at any time, subject to the terms of the funding agreements referred to in section 2.5.3.

3. CONTENT OF INVESTMENT PLANS

3.1. Research Infrastructure

- 3.1.1. The investment plans relating to the nine capability areas listed in section 1.4.4 must address each of the investment criteria set out in Attachment B and detailed in this Section 3.
- 3.1.2. As indicated in Attachment B, a plan relating to a specific capability area must show that it will result in world class research infrastructure that addresses the national requirements of the relevant capability area described in the NCRIS Roadmap.
- 3.1.3. A plan must justify the nature and location of the infrastructure investment in terms of its contribution to building a national research capability.
- 3.1.4. NCRIS funding may be applied to the establishment, operation and development of research infrastructure facilities, including associated staffing costs. This may include a mix of expenditure on:
 - Operation of existing facilities;
 - Enhancement of existing facilities;
 - Establishment and operation of new facilities; and
 - Gaining access to offshore facilities.
- 3.1.5. As the NCRIS programme is aimed at the implementation and development of research infrastructure, NCRIS funds must not be applied to research activities themselves.
- 3.1.6. Collectively, the facilities must meet the needs of the national research community to the greatest extent possible. A plan should therefore describe the likely nature and level of demand for use of the infrastructure on a year by year basis.
- 3.1.7. Where appropriate, NCRIS investments should integrate Australia more deeply into the global research system, thereby enabling greater collaboration by Australian and overseas researchers at facilities here and abroad.
- 3.1.8. Investment plans should therefore indicate the nature of the international linkages that will exist between a facility and relevant overseas institutions. These relationships would be expected to increase opportunities for Australian researchers to access overseas research facilities, and for overseas researchers to access Australian facilities.

- 3.1.9. It would be desirable for a plan to comment on other possible approaches to building the capability and, through comparison, show how the proposed approach will be the best means of meeting the infrastructure needs.

3.2. Access and Pricing

- 3.2.1. An investment plan must result in research infrastructure that is accessible by researchers and that encourages collaboration in research within and across disciplines.
- 3.2.2. The research facilities and services should be national in the sense that they are accessible by researchers from across the national research system. Transparent arrangements must ensure that access is determined on the basis of merit.
- 3.2.3. NCRIS funded facilities should include access arrangements that encourage collaboration in research and balance the needs of:
- Early career researchers;
 - Other public sector researchers of merit; and
 - Researchers who are able to pay commercial prices for access.
- 3.2.4. Where appropriate, facilities should be compliant with industry standards in order to support effective commercial outcomes.
- 3.2.5. Where appropriate, provisions for making facilities accessible should include remote electronic access.
- 3.2.6. Charging for access by public sector researchers should be sensitive to the circumstances but should at most reflect marginal operating cost only. It is not expected that pricing for public sector researchers will recover depreciation expenses.
- 3.2.7. Charging for access by commercially oriented researchers should generally be at an appropriate commercial rate having regard to institutional circumstances.
- 3.2.8. Research infrastructure in Australia should attract international researchers to work and collaborate using the facilities. Investment plans should specify the terms on which access will be made available to overseas researchers.
- 3.2.9. A plan should specify how the ownership of intellectual property will be addressed where research is undertaken at the facility by researchers from another organisation. Any other requirements or restrictions relating to use of the facility should also be specified.

3.2.10. The treatment of pricing, intellectual property and other matters should not represent barriers to use of the facility.

3.3. Ownership and Management

3.3.1. An investment plan must include a facility ownership and management structure that will result in efficient and effective operation of the infrastructure throughout its lifecycle.

3.3.2. It is not intended that the Commonwealth will own the infrastructure assets. However, proposed ownership arrangements must be addressed in the investment plan and the funding agreement.

3.3.3. The plan should increase collaboration and networking within the research sector and between researchers, industry and the community. Hence, the range of organisations that can participate in an investment plan is broad and can include:

- Higher education institutions;
- Australian Government and state and territory government research agencies and institutions, including museums, libraries and botanical gardens;
- Independent research institutes; and
- Private sector research organisations.

3.3.4. The nature of the ownership and management arrangements need not be complex. It is expected that the proposed approach will vary from case to case but will generally take the simplest form that can provide effective management of the project.

3.3.5. A plan should explain what legal entity, or entities, will own and operate the facilities. Plans should indicate what arrangements will be in place to allow for the entry and exit of organisations from participation in the project over time.

3.3.6. It would be desirable for each investment plan to involve significant participation from at least one higher education institution or Australian Government research agency.

3.3.7. While each plan needs to encourage collaboration and adequately address national research needs, it is not expected that all research groups will be direct participants in the project. It is likely that the needs of many parties can be met satisfactorily through appropriate access and pricing arrangements.

3.3.8. The plan should provide copies of any company constitution, memorandum of understanding or other agreement under which the entity will operate.

- 3.3.9. DEST's preferred position is that the NCRIS funding agreement be executed between the Department of Education, Science and Training and a single incorporated entity. Each plan must clearly identify the entity that will be signing the funding agreement.
- 3.3.10. The nature and role of any Board of management or overseeing Committee should be specified. Similarly, the senior management structure and the roles of individual managers should be set out. Organisation charts should be provided.
- 3.3.11. Where the plan comprises multiple corporate entities and/or the provision of facilities at multiple locations, the plan should explain the role of each part and explain how the elements will be integrated into a coherent NCRIS project that ensures Australia's overall national research capability will be enhanced.
- 3.3.12. Applicants should identify the key people who will be responsible for making the project a success. Where possible, the members of Boards, management committees and senior managers should be named.
- 3.3.13. Evaluation mechanisms should be specified for the ongoing review of the facilities to sustain an internationally excellent level of performance into the future. The evaluation strategy is likely to involve some form of international peer review or benchmarking.
- 3.3.14. A plan should detail quantitative and qualitative key performance indicators that will be used to monitor the project's efficiency and effectiveness. These indicators could be expected to address matters such as the:
 - Nature and level of use of the infrastructure by researchers;
 - Quality of the research outcomes and their contribution to economic development and social wellbeing;
 - Creation and diffusion of skills and knowledge;
 - Satisfaction of researchers nationally with the facility; and
 - Operational efficiency measures.

3.4. Implementation Strategy and Business Case

- 3.4.1. An investment plan must include an implementation strategy and business case that will result in the efficient implementation and effective ongoing financial management of the infrastructure.
- 3.4.2. An investment plan should include a comprehensive implementation strategy that sets out the key steps and the timeline for establishing any necessary legal entities, enhancing existing facilities, building new

facilities, engaging additional staff and building national and international collaborative relationships.

- 3.4.3. The business case should include a strategic assessment, financial plan and a risk management strategy.
- 3.4.4. A strategic assessment should provide a statement of the facility's objectives and strategic direction as they relate to the research and business environment in which the facility will operate.
- 3.4.5. A detailed financial plan should set out the projected revenue, operating costs and capital costs for the project as a whole, and for each major component of the project, on a year by year basis. Allowances for corporate overheads should not be excessive.
- 3.4.6. The financial projections should be in the form of annual income statements, balance sheets and cash flow statements for each year to June 2011, and projections of the project's financial situation beyond that period. Assumptions underlying the financial projections should be clearly explained.
- 3.4.7. Financial plans should include a description of the nature, source and allocation of funds, and should detail all co-investment from project partners and other sources, both cash and in-kind, for each year from 2006-07 to 2010-11. For in-kind co-investment, the method of valuation should be specified.
- 3.4.8. The amount of funding sought from NCRIS should be clearly specified, and there should be an explanation of how the NCRIS funds and the co-investment are integrated into a coherent investment plan.
- 3.4.9. The financial plan should demonstrate that the infrastructure will be financially viable until the end of 2010-11.
- 3.4.10. The plan should include financial projections beyond 2010-11 that explain the financial position of the facility once the current NCRIS funding ceases.
- 3.4.11. It is not necessary that the project be financially self supporting in the period beyond 2010-11, but any financial shortfall should be clearly specified and potential funding sources should be identified that might be accessed to close the funding gap.
- 3.4.12. The financial plan should include cost estimates for updating and replacement of the infrastructure over time. The financial plan should indicate what amounts are required for capital replacement, at what points in time, and explain the extent to which these replacement costs could be met through operating income or capital injections from the project partners.

3.4.13. The business case should include a thorough assessment of the risks associated with the project, including risks associated with the financial projections, and provide proposed strategies for addressing those risks.

4. PRIVACY AND FREEDOM OF INFORMATION

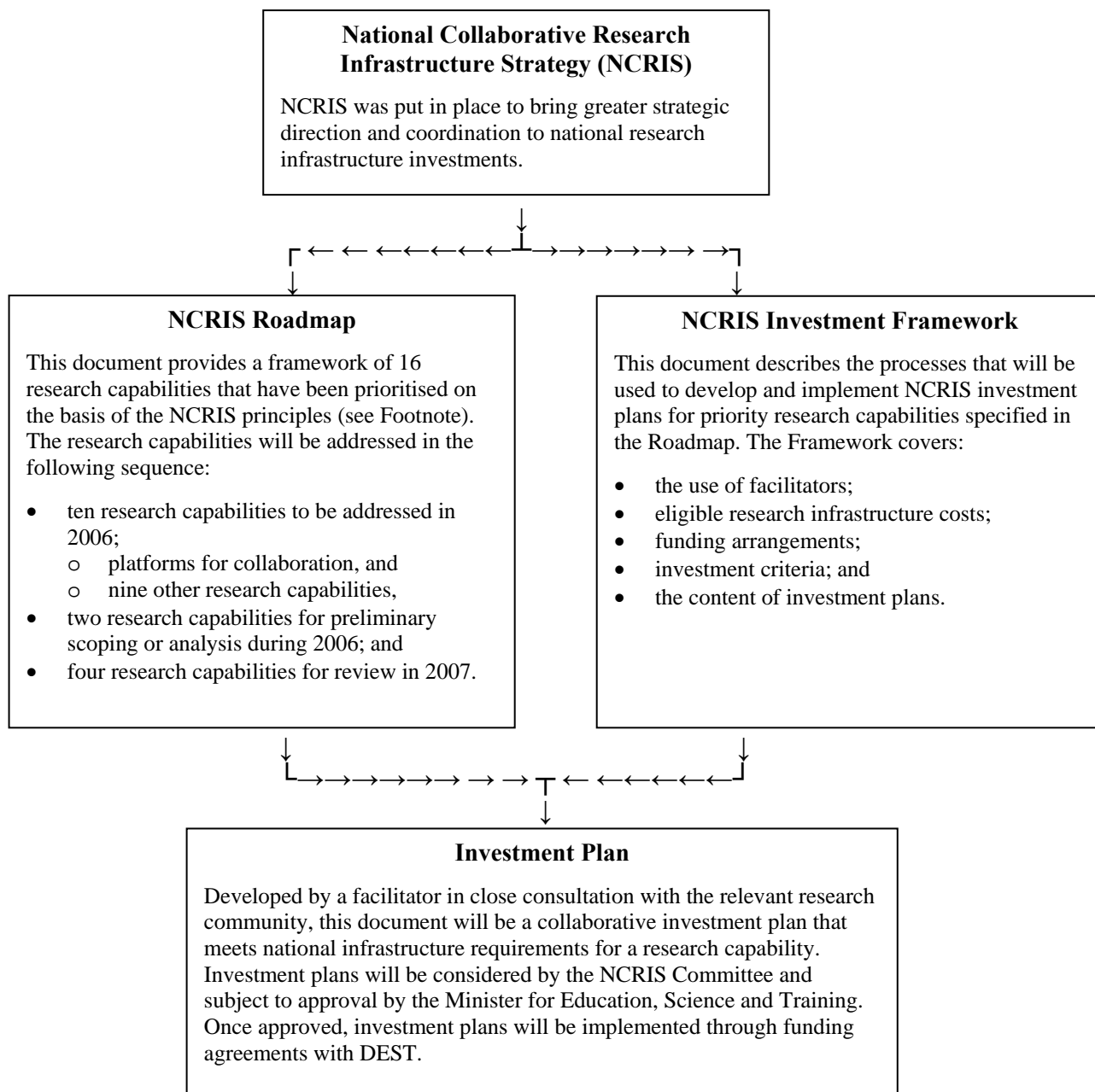
4.1 Privacy

- 4.1.1 The Department is bound, in administering the NCRIS Investment Framework, by the provisions of the *Privacy Act 1988* (“**Privacy Act**”). Section 14 of the Privacy Act contains the Information Privacy Principles (IPPs) which prescribe the rules for handling personal information.
- 4.1.2 Persons, bodies and organisations involved in the NCRIS Investment Framework must abide by the IPPs and the Privacy Act when handling personal information collected for the purposes of that scheme/programme. In brief, persons, bodies and organisations must ensure that:
- personal information is collected in accordance with IPPs 1-3;
 - suitable storage arrangements, including appropriate filing procedures are in place;
 - suitable security arrangements exist for all records containing personal information;
 - access to a person’s own personal information held by the organisation is made available to the person at no charge;
 - records are accurate, up-to-date, complete and not misleading;
 - where a record is found to be inaccurate, the correction is made;
 - where a person requests that a record be amended because it is inaccurate but the record is found to be accurate, the details of the request for amendment are noted on the record;
 - the personal information is only to be used for the purposes for which it was collected, or for other purposes where expressly allowed by IPP 10; and
 - personal information is only disclosed in accordance with IPP 11.
- 4.1.3 Complaints about breaches of privacy should be referred to the Privacy Contact Officer in the Litigation and External Review Section of the Procurement, Assurance and Legal Group, in the Department of Education, Science and Training's National Office. Privacy complaints can be made directly to the Federal Privacy Commissioner, however the Federal Privacy Commissioner prefers that the Department be given an opportunity to deal with the complaint in the first instance.

4.2 Freedom of Information

- 4.2.1 All documents created or held by the Department with regard to the NCRIS Investment Framework are subject to the *Freedom of Information Act 1982* (“**FOI Act**”). Unless a document falls under an exemption provision, it will be made available to the general public if requested under the FOI Act.
- 4.2.2 All FOI requests are to be referred to the Freedom of Information Coordinator in the Litigation and External Review Section of the Procurement, Assurance and Legal Group, in the Department's National Office. Decisions regarding requests for access will be made by the Department's authorised FOI decision-maker in accordance with the requirements of the FOI Act.

ATTACHMENT A: SCHEMATIC OVERVIEW OF NCRIS



Footnote

The 16 priority research capabilities are:

- Platforms for collaboration;

and

- Evolving biomolecular platforms and informatics;
- Integrated biological systems;
- Characterisation;
- Fabrication;

- Biotechnology products;
- Networked biosecurity framework;
- Optical and radio astronomy;
- Integrated marine observing system; and
- Structure and evolution of the Australian continent.

The research capabilities for preliminary scoping or analysis in 2006 are:

- Population health and clinical data linkage; and
- Terrestrial ecosystem research network.

The research capabilities for review in 2007 are:

- Translating health discovery into clinical application;
- Heavy ion accelerators;
- Low-emission, large scale energy processes; and
- Next generation solutions to counter terrorism and crime.

ATTACHMENT B: NCRIS INVESTMENT CRITERIA

The NCRIS investment criteria are set out in this Attachment and detailed in Section 3 of this Investment Framework. These criteria specify the outcomes that must be achieved by an investment plan relating to a specific capability area. A single plan must be developed for each capability area that addresses all of the criteria and shows in detail how the required outcomes will be achieved. The way in which the criteria will be met is expected to vary depending on the nature and circumstances of each capability area.

B.1 Criterion 1: An investment plan must result in excellent research infrastructure that addresses the national requirements of the relevant capability area described in the NCRIS Roadmap.

B.2 Criterion 2: An investment plan must result in research infrastructure that is accessible by researchers on the basis of merit at reasonable prices, and that encourages collaboration in research.

B.3 Criterion 3: An investment plan must include a facility ownership and management structure that will result in the efficient and effective operation of the infrastructure.

B.4 Criterion 4: An investment plan must include an implementation strategy and business case that will result in the efficient implementation and effective ongoing financial management of the infrastructure.