



Procedure: National Institutes Grant

Purpose

The purpose of this procedure is to support the implementation of the National Institutes Grant Policy by defining the process for allocation, expenditure and accountability of the National Institutes Grant (NIG).

Procedure

Allocation and expenditure of the NIG

Allocation

1. The direct allocation of the NIG will continue to be distributed to organisational units in existing proportions in the 2018 and 2019 calendar years.
2. The 2020 direct allocation of the NIG to organisational units will be dependent upon the outcome of the 2019:
 - a. review of progress against existing strategic goals for the expenditure of the NIG (NIG Reviews), and
 - b. NIG Bids.
3. Each subsequent year's direct allocation will be dependent upon the outcome of the previous year's NIG Reviews and NIG Bids.
4. The indirect allocations of the NIG will be distributed in accordance with their individual governance arrangements.

Expenditure

5. Each organisational unit in receipt of a direct allocation of the NIG must establish strategic goals for the expenditure of that allocation.
6. Goals for the expenditure of the NIG are:
 - a. in the form of an agreement using the NIG Goal Agreement Template, and
 - b. approved by the NIG Panel.
7. Each agreement is made on a rolling triennial basis, to be reviewed and updated annually.
8. Each goal:

- a. demonstrates alignment with the purpose for which the NIG is provided to the University, as specified in the policy;
 - b. is strategic, rather than operational or transactional in nature;
 - c. where reasonable, fully considers and incorporates genuine cross-school collaboration;
 - d. is challenging or ambitious (a stretch goal);
 - e. clearly identifies measures of success for year-on-year progress, and
 - f. is commensurate with the scale of the direct allocation of the NIG allocated to the organisational unit.
9. Except as provided for in section 8 or in the case of NIG Bids (where further guidance is provided in the [NIG Bid Guidelines](#)), there are no further restrictions on the type of activities that may be included in a goal.

Goal-setting process

10. During the first quarter of the calendar year, organisational units, with a direct allocation of the NIG update previously agreed goals or establish new proposed goals for the expenditure of that allocation using the relevant NIG Goal Agreement Template.
11. Between April-May of each calendar year, the NIG Panel convenes to discuss the updated or new proposed goals with each organisational unit, ensuring the proposed goals meet the criteria prescribed in section 8 of this procedure.
12. Following the NIG Panel discussion referred to in section 11, the NIG Panel may:
- a. approve the proposed goals;
 - b. approve the proposed goals subject to modification; or
 - c. reject the goals.
13. Goals are approved by the NIG Panel no later than 30 June of each calendar year. Approved goals are provided to both the Council and the Senior Management Group for noting at their first available meeting following the approval of the goals by the NIG Panel.
14. The NIG Panel consists of the following members:
- a. Vice-Chancellor
 - b. Provost
 - c. Deputy Vice-Chancellor (Research and Innovation), and
 - d. at least two other members as appointed by the Vice-Chancellor.
15. Each organisational unit is represented during the panel discussions by the following people:

- a. Dean of the relevant ANU College
 - b. Director of the organisational unit, and
 - c. two members of staff, or one member of staff per NIG Goal, whichever is greater, to be nominated by the Director of the organisational unit.
16. In addition to the people identified in section 15, the Dean of the relevant ANU College may also nominate up to two observers to attend the panel discussion.

NIG Bids

17. For subsequent years following the first year of NIG Panels NIG Bids may be submitted to the NIG Panel.
18. In addition to meeting the criteria prescribed in section 8 of this Procedure, NIG Bids must also satisfy the [NIG Bids Guidelines](#) as published from time to time.
19. A successful NIG Bid results in a direct allocation of the NIG from the following calendar year onwards, subject to the NIG Reviews as set out below.

Accountability of the NIG

20. Expenditure of the NIG is accounted for through annual review and reporting processes.

NIG Reviews

21. The NIG Panel undertakes an annual review of progress made against NIG Goals and NIG Bids.
22. The NIG Panel reviews progress against the 12 month success indicators established in the previous year to determine whether they have been:
- a. met
 - b. exceeded, or
 - c. not met.
23. The NIG Panel's review is supported by:
- a. Self-Assessment Reports submitted by the relevant organisational unit(s);
 - b. a review of the Self-Assessment Reports by the relevant Dean, and
 - c. a discussion with the organisational unit(s) during the NIG Panels.
24. The NIG Reviews informs the NIG Panel's decision on the direct allocation of the NIG for the following calendar year.

Reporting process

25. The expenditure of the NIG is reported annually through the NIG Report, coordinated through Planning and Performance Measurement.

Delegations relevant to this procedure

- **215:** Approve annual University budget.
- **216:** Authorise variations within annual University budget.
- **217:** Allocation of budgets

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