

PART I

ALL AGENCIES ARE REQUESTED TO COMPLETE PART I.

If you cannot answer a question, please indicate whether the question is NOT APPLICABLE or if INFORMATION IS NOT AVAILABLE.

Section 1: Contact details

1.1 Agency

1.2 Reporting and financial arrangements are governed by:
(Please indicate with a 'X' whether one or more of the following Acts apply)

Financial Management and Accountability Act 1997

YES	NO
	x

Commonwealth Authorities and Companies Act 1997

YES	NO
x	

Other

1.3 Contact Officer

Position

Phone

Fax

Email

Address

This section asks about your agency's total revenues, charges and expenses. All agencies should complete this section, whether or not you consider you undertake cost recovery.

Section 2: Agency revenues, charges and expenses

(Please indicate with a 'X' which response applies)

2.1 Has your agency charged any cost recovery fees, levies or other charges in the last five financial years?

YES	NO
x	

Relevant charges include any fees, levies, taxes (including some customs and excise duties earmarked for specific purposes) or other charges which arise from the services, programs or business activities of your agency, and which are collected by your agency or by another agency on your behalf. For example, application fees, processing charges, consultancy fees, publication sales, special industry duties, excises or levies other than general taxation.

2.2 Were any of the appropriations allocated to your agency in the last five financial years linked (hypothecated) to revenue collected from fees, levies or charges (for example, levies paid to the Consolidated Revenue Fund but earmarked for allocation to your portfolio)? (Whether the revenue was collected by your agency or by another agency on your behalf).

YES	NO
	x

2.3 Has your agency considered introducing any cost recovery arrangements in the past that were not implemented?
(Please attach any relevant reviews, analysis or other information.)

YES	NO
	x

2.4 Is your agency considering introducing any cost recovery arrangements in the future?
(Please attach any relevant reviews, analysis or other information.)

YES	NO
x (NA)	

If you answered NO to questions 2.1 and 2.2, you need not answer any further questions. Thank you for your cooperation. Please return the questionnaire to the Commission (see front sheet for instructions).

If you answered YES to EITHER question 2.1 OR question 2.2 OR both, please complete section 3 below, and Part II on the following worksheet.

Section 3: Agency revenues and expenses

3.1 Does your agency classify revenues and expenses as agency and administered?

Agency revenues and expenses are those controlled by the department/agency (for example, employee and administrative expenses). Administered revenues and expenses are those which are controlled by Government and managed or oversighted by the department/agency on behalf of the Government (for example, social security payments).

YES	NO
	x

If your agency classifies revenues and expenses as 'agency' and 'administered' then please fill in both tables below. If your agency does not classify revenues and expenses as 'agency' and 'administered' then please put all revenues and expenses in the 'agency' table below.

AGENCY revenues and expenses (Please use \$'000)					
	1995-96	1996-97	1997-98	1998-99	1999-2000
Agency revenue from cost recovery (a)					
3.2 Cost recovery revenue retained by your agency	4516	5494	5284	4889	4623
3.3 Cost recovery revenue paid to CRF and appropriated to your agency (or another agency for a specific purpose (ie. annotated, hypothecated or earmarked revenues)					
3.4 Cost recovery revenue paid to CRF and not specifically appropriated to your agency (or another agency)					
3.5 Total agency revenue from cost recovery	4516	5494	5284	4889	4623
Agency revenue from other sources					
3.6 Other appropriations	16604	16445	16388	18502	24953
3.7 Other sources (eg. asset sales, dividends, interest, funding from other government agencies)	945	371	403	568	717
3.8 Total agency revenue from other sources	17549	16816	16791	19070	25670
3.9 Total agency revenue	22065	22310	22075	23959	30293
3.10 Total agency expenses	21962	24112	23885	23216	27214
CRF Consolidated Revenue Fund					
(a) Include all revenue from fees, levies, excises and other charges which arise from the services or activities of your agency and which is paid to your agency to another agency or to the Consolidated Revenue Fund.					

ADMINISTERED revenues and expenses (Please use \$'000)

	1995-96	1996-97	1997-98	1998-99	1999-2000
Administered revenue from cost recovery (a)					
3.11 Cost recovery revenue retained by your agency					
3.12 Cost recovery revenue paid to CRF and appropriated to your agency (or another agency for a specific purpose (ie. annotated,					
3.13 Cost recovery revenue paid to CRF and not specifically appropriated to your agency (or another agency)					
3.14 Total administered revenue from cost recovery	0	0	0	0	0
Administered revenue from other sources					
3.15 Other appropriations					
3.16 Other sources (eg. asset sales, dividends, interest, funding from other government agencies)					
3.17 Total administered revenue from other sources	0	0	0	0	0
3.18 Total administered revenue	0	0	0	0	0
3.19 Total administered expenses	NA				

CRF Consolidated Revenue Fund

(a) Include all revenue from fees, levies, excises and other charges which arise from the services or activities of your agency and which is paid to your agency to another agency or to the Consolidated Revenue Fund.

End of Part I. Please complete Part II, which is on a separate worksheet.

PART II

If your agency operated any cost recovery arrangements in 1999-2000, please complete this part. Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you are reporting. Similar cost recovery arrangements may be reported in groups.

PART II(a)

Name of sub-unit, agency, program or activity, output or outcome AIMS

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material		
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc)	Revenue received from contract and collaborative research and development, grants, fees for technical and consulting services, [royalties and licence fees]
4.2	Basic description of arrangements: (Please attach any relevant documents.)	Arrangements vary according to the type of product or service and the extent to which the service aligns with planned research and development directions.
4.3	Who pays the cost recovery charges?	Clients are varied and include Australian and international public and private sector users of marine R&D and a mixture of both.
4.4	Who benefits from the program or activity, output or outcome?	Public and private sector clients but the spillover benefits to the broader community are high since much of the research is public good.
4.5	Do you attempt to measure these benefits? If YES, how?	Yes, in the context of the broader research program of the Institute. Examples are reported each year in the AIMS Annual Report as part of agreed performance indicators
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe)	AIMS R&D is highly specialised and internationally recognised. There are other research providers such as CSIRO and the Universities but the research capabilities are not identical.
4.7	When was this cost recovery arrangement introduced?	An external earnings target was introduced in 1988 [check]. AIMS has always sought to recoup costs as part of initiatives to boost revenue for research

PART II(b)

Name of sub-unit, agency, program or activity, output or outcome

Program or activity, output or outcome cost recovery arrangements in 1999-2000 (continued)
(Please use \$'000)

Program or activity, output or outcome revenues

4.8	Cost recovery revenue paid to CRF earmarked for appropriation to same agency	\$	<input type="text"/>	
4.9	Cost recovery revenue paid to CRF earmarked for appropriation to a third party	\$	<input type="text"/>	
4.10	Cost recovery revenue paid to CRF and not earmarked for particular appropriation	\$	<input type="text"/>	
4.11	Cost recovery revenue paid to CRF (subtotal)	\$	<input type="text" value="0"/>	
4.12	Cost recovery not paid into CRF	\$	<input type="text" value="4623"/>	
4.13	Total cost recovery revenue	\$	<input type="text" value="4623"/>	
4.14	Appropriations not related to cost recovery	\$	<input type="text"/>	
4.15	Other sources (please specify)	\$	<input type="text"/>	
4.16	Total program or activity, output or outcome revenues	\$	<input type="text" value="4623"/>	

Program or activity, output or outcome expenses

4.17	Direct expenses	\$	<input type="text" value="4223"/>
4.18	Indirect expenses (including corporate overheads)	\$	<input type="text"/>
4.19	Third party expenses (a)	\$	<input type="text"/>
4.20	Total program or activity, output or outcome expenses	\$	<input type="text" value="4223"/>

Administration costs

4.21 What costs are associated with administering the cost recovery arrangements? \$

CRF Consolidated Revenue Fund. Direct costs are those directly related to a particular program. Indirect costs include indirect agency overheads and general running costs. (a) Include third party costs where third parties are involved in a program or activity a their costs are being recovered as part of the cost recovery arrangements.

PART II(c)

Name of sub-unit, agency, program or activity, output or outcome

AIMS

Section 5: Institutional arrangements

5.1 What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, press releases, second reading speeches.)

To ensure that appropriation funds were used to maximise output approved by Government and that contract research was appropriately funded.

5.2 What was the legal basis for establishing these cost recovery arrangements: (Please name and attach relevant documents.)

Legislation (eg. s.31 of the Financial Management and Accountability Act, tax or levy acts)

Subordinate legislation (eg. regulations, standards)

Co-regulation or quasi-regulation

Commonwealth/State/Territory agreement

Voluntary arrangements (eg. codes of practice)

Other

Australian Institute of Marine Science Act 1972

Commonwealth Competitive Neutrality Policy

5.3 Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the consultation arrangements.)

Commonwealth government (DOFA etc)

Other governments (state, territory, local)

Industry

Consumers

Other

Users of marine research

5.4 What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)	General costing principles for the private sector, various government statements and policy e.g. Competitive Neutrality										
5.5 Which agency is responsible for the following activities? (Please name relevant agency)	<table border="1"> <tr> <td data-bbox="416 612 891 641">Policy setting</td> <td data-bbox="904 612 1800 641">AIMS</td> </tr> <tr> <td data-bbox="416 644 891 673">Price setting</td> <td data-bbox="904 644 1800 673">AIMS</td> </tr> <tr> <td data-bbox="416 676 891 705">Administration</td> <td data-bbox="904 676 1800 705">AIMS</td> </tr> <tr> <td data-bbox="416 708 891 737">Revenue collection</td> <td data-bbox="904 708 1800 737">AIMS</td> </tr> </table>	Policy setting	AIMS	Price setting	AIMS	Administration	AIMS	Revenue collection	AIMS		
Policy setting	AIMS										
Price setting	AIMS										
Administration	AIMS										
Revenue collection	AIMS										
5.6 Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)	<table border="1"> <tr> <td data-bbox="416 804 891 833">Commonwealth government (DOFA etc)</td> <td data-bbox="904 804 1800 833">Users of marine research</td> </tr> <tr> <td data-bbox="416 836 891 865">Other governments (state, territory, local)</td> <td data-bbox="904 836 1800 865"></td> </tr> <tr> <td data-bbox="416 868 891 896">Industry</td> <td data-bbox="904 868 1800 896"></td> </tr> <tr> <td data-bbox="416 900 891 928">Consumers</td> <td data-bbox="904 900 1800 928"></td> </tr> <tr> <td data-bbox="416 932 891 960">Other</td> <td data-bbox="904 932 1800 960"></td> </tr> </table>	Commonwealth government (DOFA etc)	Users of marine research	Other governments (state, territory, local)		Industry		Consumers		Other	
Commonwealth government (DOFA etc)	Users of marine research										
Other governments (state, territory, local)											
Industry											
Consumers											
Other											
5.7 Please describe these consultation arrangements.	Informal liaison which seeks feedback from contractors/collaborators and commercial negotiation										
5.8 Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)	No, although external earnings for the Science Authorities was included in "A Review of Triennium funding arrangements for Industry, Technology and Regional Development Science Agencies" by DOFA, DISR (then DITAC) and										

PART II(d)

Name of sub-unit, agency, program or activity, output or outcome

AIMS

Section 6: Price setting arrangements

6.1 How are these cost recovery charges determined? (Please attach any relevant documents)

- | | |
|--|---|
| (i) How are charges set? (eg. by formula in legislation or based on 'market prices') | The pricing of commercial activities is determined by what the market is prepared to pay, the Institute's desire for co-investment, and as far as possible, the full cost (estimated) for the research. |
| (ii) Are charges directly related to the costs of particular activities, outcomes or outputs, or charged on some other basis? (eg. levies on users' turnover, profits or assets) | Charges are related to the costs of the activities |

6.2 If charges are directly related to the costs of particular activities, outputs or outcomes:

- | | |
|--|--|
| (i) What costs do charges aim to recover? (eg. only direct costs or indirect costs such as overheads) | Full direct costs and as much of the indirect costs as possible. The indirect costs include overheads and are the most likely to be adjusted according to the research outcomes. For example, public good research which aligns with |
| (ii) What proportion of these costs do charges aim to recover? (%) | See above. 100% for technical and consulting services but often less for research services with public good/national interest outcomes. |
| (iii) Does the charging regime require assets to be valued? (eg. to allow the calculation of user cost of capital or return on assets) | No, however the Institute does revalue its assets every 3 years |
| (iv) If 'YES' to (iii), on what basis are assets valued? (eg. historic, replacement, deprival or replacement cost) | NA |
| (v) Do charges include a user cost of capital? | Yes |
| (vi) If 'YES' to (iv), how is it calculated? | As a percentage of total infrastructure costs |
| (vii) Do charges include return on assets? (eg. profit) | Sometimes |
| (viii) If 'YES' to (vii), on what basis? | Where market will bear cost and the services are highly commercial |
| (ix) Do charges discriminate between types of users? | Yes |
| (x) If 'YES' to (ix), on what basis? | See section 4 |

(xi)	Do charges allow for access and equity considerations (eg. waivers, discounts)?	See above
(xii)	If 'YES' to (xi), on what basis?	
(xiii)	Other (Please describe other significant features)	
6.3	How are indirect costs allocated for cost recovery arrangements? (eg. activity based costing, according to share of direct costs or other rule.)	Indirect costs are attributed on the basis of labour costs
6.4	Are there any price controls on these charges?	No
6.5	How often is the level of charges changed?	Price of research services is determined on a project by project basis.Charges are reviewed, based on costs, annually.
6.6	What happens if revenue recovered is greater than costs incurred?	Revenue is retained and used for further research as per the AIMS Act.

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)