

Commonwealth Scholarships Guidelines (Research) 2017

COMMONWEALTH OF AUSTRALIA

Higher Education Support Act 2003

I, SIMON BIRMINGHAM, Minister for Education and Training, pursuant to section 238-10 of the *Higher Education Support Act 2003* ("the Act") revoke the *Commonwealth Scholarships Guidelines (Research) 2012* dated 3 December 2012 and make the attached *Commonwealth Scholarships Guidelines (Research) 2017* for the purposes of section 46-20 of the Act.

Dated 30 September 2016

SIMON BIRMINGHAM

Senator the Hon Simon Birmingham Minister for Education and Training

Part 1 Preliminary

1 Name of Guidelines

These *Guidelines* may be cited as the *Commonwealth Scholarships Guidelines* (Research) 2017.

2 Commencement

These Guidelines commence on the day after they are registered.

3 Authority

These *Guidelines* are made under section 238-10 of *the Act* for the purposes of Part 2-4 of *the Act*.

4 Revocation

The Commonwealth Scholarships Guidelines (Research) 2012 dated 3 December 2012 (F2012L02535) are revoked.

5 Transitional Arrangements

The revocation of the *Commonwealth Scholarships Guidelines (Research)* 2012 dated 3 December 2012 does not affect the validity of a payment or decision made under those guidelines.

A decision made under those guidelines is taken to continue to have effect as if it were made under these *Guidelines*.

Part 2 Commonwealth Scholarships Guidelines (Research) 2017

COMMONWEALTH OF AUSTRALIA

Higher Education Support Act 2003

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CHAPTER i INTRODUCTION

i.i PURPOSE

The purpose of these *Guidelines* is to provide for Commonwealth Scholarships under Part 2-4 of the *Higher Education Support Act 2003*.

i.v INTERPRETATION

i.v.i Unless the contrary intention appears, the terms used within the *Commonwealth Scholarships Guidelines (Research) 2017* have the same meaning as in *the Act*

i.v.ii The following terms are defined specifically for these *Guidelines*:

the Act means the Higher Education Support Act 2003

AQF means the Australian Qualifications Framework Second

Edition January 2013

ASCED means the Australian Standard Classification of

Education - 1272.0 - 2001 specified by the Australian

Bureau of Statistics

Australian ADI has the same meaning as defined in the Corporations

Act 2001

Category 1 is Australian competitive grants research income in

HERDC

Category 2 is other public sector research income in HERDC category 3 is industry and other research income in HERDC

Category 4 is Cooperative Research Centre research income in

HERDC

continuing student means either:

a student whose period of support under the Research Training Scheme, International Postgraduate Research Scholarships or Australian Postgraduate Awards would

terminate on or after 1 January 2017

or

a student who has received an offer of support by a *HEP* under the Research Training Scheme, International Postgraduate Research Scholarships or Australian Postgraduate Awards, and accepted this offer of support, and whose offer of support was scheduled to

commence on or after 1 January 2017

course of study means an accredited HDR course leading to a Research

Doctorate or a Research Masters

the department means the Commonwealth Department of Education

and Training

domestic student has the same meaning as defined in the Act

FOE means a Field of Education code specified in the

ASCED

Full-time student load in respect of a course of study, is at least 75 per cent of

an equivalent full-time student load in the period for

which RTP Scholarship support is received

Funding Pool is the total amount of funding available to the

department for a given Grant Year for the RTP

Grant Year means the year in respect of which the grant is made,

and of which the department has notified the relevant

HEP

Guidelines means these Commonwealth Scholarships Guidelines

(Research) 2017

HDR means a higher degree by research which is a Research

Doctorate or Research Masters course for which at least two-thirds of the student load for the course is required

as research work

HEP means a higher education provider as specified in

section 16-15 of *the Act* (Table A Providers) or section 16-20 of *the Act* (Table B Providers)

HERDC means the Higher Education Research Data Collection

maintained by the department

HESDC means the Higher Education Student Data Collection

maintained by the department

Indigenous student means a HDR student who identifies herself or himself

as being of Aboriginal and/or Torres Strait Islander descent and is reported as such in the *HESDC*

the Minister means the Commonwealth Minister for Education and

Training

non-Indigenous student means a HDR student who is not an Indigenous student

overseas student has the same meaning as defined in the Act

part-time student load in respect of a course of study, is less than 75 per cent of

an equivalent full-time student load in the period for

which RTP Scholarship support is received

research means Research and Experimental Development as

defined in the Frascati Manual 2015 maintained by the

Organisation for Economic Cooperation and

Development

Research Doctorate means a Level 10 Doctoral Degree (Research)

qualification as described in the AQF

Research Masters means a Level 9 Masters Degree (Research)

qualification as described in the AQF

RTP means the Research Training Program

RTP Allowance is a type of RTP Scholarship to assist with ancillary

costs incurred by a HDR student in undertaking a HDR

RTP Fees Offset is a type of RTP Scholarship to assist with course fees

that would otherwise be payable by a *HDR* student

RTP Scholarship is a form of support awarded to a student in terms of

support items listed in paragraph 1.6.1

RTP Scholarship Policy is a policy that specifies a HEP's administrative rules

that apply to RTP Scholarships in relation to items

listed in paragraph 1.6.45.

RTP Stipend is a type of RTP Scholarship to assist students with

general living costs

suspension means a period of time during which a scholarship

holder is not receiving *RTP Scholarship* support, which has been approved in accordance with a *HEP's RTP*

Scholarship Policy

i.v.iii Unless stated otherwise, references to paragraphs refer to paragraphs in these *Guidelines*.

CHAPTER 1 GRANTS TO SUPPORT THE TRAINING OF RESEARCH STUDENTS

1.1 Purpose

The purpose of this chapter is to specify:

- (1) in accordance with subsection 46-20(1) of the Act, the RTP; and
- (2) under subsection 46-20(2) of *the Act*, some other matters relevant to the *RTP*.

RESEARCH TRAINING PROGRAM

1.2 Description

The *RTP* provides block grants, on a calendar year basis, to *HEPs* to support the *research* training of *domestic students* and *overseas students* undertaking *HDRs*.

RTP Scholarships are postgraduate research scholarships in accordance with section 46-10(b) of the Act.

1.3 Objectives

The objectives of the *RTP* are to:

- (1) provide flexible funding arrangements to support the training of *domestic* students and overseas students undertaking HDRs at Australian HEPs;
- (2) deliver graduates with the skills required to build careers in academia and other sectors of the labour market;
- support collaboration between *HEPs* and industry and other *research* endusers; and
- (4) support *overseas students* undertaking *HDRs* at Australian *HEPs*.

1.4 RTP Grant Amounts

1.4.1 Determination of Grants and Indexation

The *RTP* Grant Amounts will be determined in accordance with the method set out in this Part 1.4

Funding Pool amounts and RTP Stipends are indexed in accordance with Part 5-6 of the Act.

1.4.5 **Basic Grant Amount**

The formula for calculating each HEP's Basic Grant Amount for the Grant Year is:

$$BGA_{i,v} = (0.5 * B_v * COMPLETION S_i) + (0.25 * B_v * COMPETITIV E_i) + (0.25 * B_v * ENGAGEMENT_i)$$

where:

 $BGA_{i,v}$ = Basic Grant Amount from the RTP for ith HEP in year y

 $B_v = Funding Pool in year y$

 $COMPLETION S_i$ = Share of weighted HDR student completions for the ith HEP calculated according to the following formula:

$$COMPLETION S_{i} = \frac{WSC_{i,y1} + WSC_{i,y2}}{\sum_{j=1}^{n} (WSC_{j,y1} + WSC_{j,y2})}$$

WSC =Weighted HDR student completions specified in paragraph 1.4.10

 $COMPETITIV E_i$ = Share of Category 1 income for ith HEP calculated according to the following formula:

$$COMPETITIV E_{i} = \frac{Category1_{i,y1} + Category1_{i,y2}}{\sum_{i=1}^{n} \left(Category1_{j,y1} + Category1_{j,y2}\right)}$$

 $ENGAGEMENT_i$ = Share of Category 2, Category 3 and Category 4 income for ith HEP calculated according to the following formula:

$$ENGAGEMENT_{i} = \frac{Category2,3,4_{i,y1} + Category2,3,4_{i,y2}}{\sum_{j=1}^{n} \left(Category2,3,4_{j,y1} + Category2,3,4_{j,y2}\right)}$$

y =Year for which the grant is given

y1, y2 = the most recent (y1) and second most recent (y2) years for which data is available

i, j = 1...n, where n is the total number of HEPs

1.4.10 Weightings applying to HDR student completions

HDR student completions reported in the HESDC are to be weighted according to each student's *Indigenous* or *non-Indigenous* status, the level of the *HDR*, and the cost type of the HDR. A HEP's weighted student completions for a year is equal to the sum of the number of completions for each student type multiplied by the HDR cost type as specified in the following table:

| | non-Indigenous student | Indigenous student |
|------------------------------|------------------------|--------------------|
| High-cost Research Doctorate | 4.7 | 9.4 |
| High-cost Research Masters | 2.35 | 4.7 |
| Low-cost Research Doctorate | 2.0 | 4.0 |
| Low-cost Research Masters | 1.0 | 2.0 |

High-cost and low-cost completions are determined in accordance with high-cost and low-cost fields of education identified in Part 1.7.

1.4.15 Grant Amounts for 2017, 2018, 2019 and 2020 Grant Years

For the 2017, 2018, 2019 and 2020 *Grant Years*, the formula for calculating each *HEP's RTP* Grant Amount is:

$$RTP_{i,y} = (0.75 * B_y * RTPshare_i) + (0.25 * BGA_{i,y})$$

where:

RTPshare_i = the share of RTP Grant Amount* for ith HEP in the year prior to the Grant Year calculated according to the following formula:

$$RTPshare_{i,y} = \frac{RTP_{i,y-1}}{\sum_{i=1}^{n} (RTP_{i,y-1})}$$

y-1 = Year prior to the *Grant Year**

 $B_y = Funding Pool in year y$

 $BGA_{i,y}$ = Basic Grant Amount calculated in paragraph 1.4.5

1.4.20 Grant Amounts for 2021 and future *Grant Years*

For the 2021 and future *Grant Years*, each *HEP*'s *RTP* Grant Amount is equal to that *HEP*'s Basic Grant Amount calculated in paragraph 1.4.5.

1.4.25 Rounding Process

The rounding process for *RTP* Grant Amounts is as follows:

- (1) The amount allocated to each *HEP* under paragraphs 1.4.15 or 1.4.20 is rounded down to the nearest whole dollar. The difference in cents between a *HEP*'s rounded and unrounded *RTP* Grant Amount is its Remainder. The sum of all Remainders is the Unallocated Dollars.
- (2) Each *HEP* is ranked in descending order based on its Remainder's closeness to one hundred. One dollar is assigned to each *HEP* in order of ranking until all Unallocated Dollars are exhausted.
- (3) Each *HEP*'s *RTP* Grant Amount is equal to the rounded amount calculated in subparagraph 1.4.25(1) plus any whole dollars assigned in subparagraph 1.4.25(2).

1.5 Student Eligibility Requirements

(1) To be eligible for a *RTP Stipend*, *RTP Fees Offset or RTP Allowance* a student must be a *domestic student* or an *overseas student* enrolled in an accredited *HDR* course of study at an Australian *HEP*.

^{*} For the 2017 *Grant Year* only, each *HEP's RTP* Grant Amount for the previous *Grant Year* is equal to the total of Grant Amounts received by that *HEP* in 2016 under the former Australian Postgraduate Awards, International Postgraduate Research Scholarships and Research Training Scheme programs.

- (2) To be eligible for a *RTP Stipend* a student must not be receiving income from another source to support that student's general living costs while undertaking their *course of study* if that income is greater than 75 per cent of that student's *RTP Stipend* rate. Income unrelated to the student's *course of study* or income received for the student's *course of study* but not for the purposes of supporting general living costs is not to be taken into account.
- (3) To be eligible for a *RTP Fees Offset* a student must not be receiving an equivalent award or scholarship from the Commonwealth designed to offset *HDR* fees.

1.6 Conditions that Apply to *RTP* Grant Amounts

1.6.1 Expenditure of *RTP* Grant Amounts

A *HEP* must only spend its *RTP* Grant Amounts on costs incurred in providing one or more of the following types of support to a *RTP Scholarship* recipient:

- (1) RTP Fees Offset paid to individual students by way of satisfaction of their liability for tuition fees;
- (2) *RTP Stipend* to assist students with their living costs while undertaking a *HDR*;
- (3) *RTP Allowances* to assist students with ancillary costs of a *HDR* including but not limited to:
 - a) for *overseas students*, a standard Overseas Student Health Cover policy approved by the Commonwealth Department of Health and which covers the student and their spouse and dependants (if any);
 - b) relocation costs to undertake a HDR; and
 - c) *HDR* thesis printing and academic publication costs.

1.6.5 Period of Support

A *HEP* must only provide a student with the support specified in subparagraphs 1.6.1(1) and/or 1.6.1(2) for a *course of study*:

- (1) for a minimum of three years and up to a maximum of four years at the discretion of the *HEP* if the student is undertaking an eligible *Research Doctorate* at a *full-time student load* or for a minimum of six years and up to a maximum of eight years at the discretion of the *HEP* for a *part-time student load*; or
- (2) for a maximum of two years if the student is undertaking a *Research Masters* at a *full-time student load* or a maximum of four years for a *part-time student load*.

The student's period of support will be increased for any periods of leave approved by a *HEP* in relation to subparagraphs 1.6.15(2), 1.6.15(3), 1.6.15(4) and 1.6.15(5). Any periods of *suspension* approved by a *HEP* do not contribute to the period of support.

The period of support is calculated from the *course of study* commencement date.

1.6.10 RTP Stipend Base and Maximum Value

- (1) *RTP Stipend* values are payable at the applicable rate from 1 January to 31 December for the relevant *RTP Grant Year*.
- (2) For the 2017 *Grant Year*, the base full-time *RTP Stipend* rate is \$26,682 and the maximum full-time *RTP Stipend* rate is \$41,682.
- (3) The base and maximum full-time *RTP Stipend* rates for any subsequent year are the same as the *RTP Stipend* rates for the preceding year, indexed in accordance with the method set out in Part 5-6 of *the Act*.
- (4) The department will advise HEPs in writing of the value of the base full-time and maximum full-time RTP Stipend rates for a Grant Year by 1 October of the preceding year.

1.6.15 Leave Entitlements for *RTP Stipend* recipients

- (1) Students are entitled to receive up to 20 working days' paid recreation leave and ten working days' paid sick leave for each year of the *RTP Stipend*. These leave entitlements may be accrued over the life of the *RTP Stipend* but will be forfeited when the *RTP Stipend* is terminated.
- (2) Students are entitled to receive additional paid sick leave of up to a total of 60 working days during the duration of the *RTP Stipend* for periods of illness where the student has insufficient sick leave entitlements available under paragraph (1), provided that a medical certificate has been provided by the student to the HEP.
- (3) Sick leave entitlements (including additional sick leave) may also be used to cover leave for students with family caring responsibilities, subject to the usual practice of the HEP.
- (4) Students who have completed 12 months of their *RTP Stipend* are entitled to a maximum of 60 working days paid maternity leave during the duration of the *RTP Stipend*. Subject to the usual practice of the HEP, paid leave may also be approved if the student has adopted a child.

(5) Students who are partners of women giving birth while receiving a *RTP Stipend* and who have completed 12 months of their *RTP Stipend*, may be entitled to a period of paid parenting leave at the time of the birth or adoption, subject to the usual practice of the HEP.

1.6.20 Additional Conditions for *RTP Stipends*

If a *RTP Stipend* is provided as part of a *RTP Scholarship* specified in subparagraph 1.6.1(2), the following additional conditions apply:

- (1) A *HEP* must offer each student selected by the *HEP* to receive a *RTP Stipend* a stipend rate at least equal to the base full-time *RTP Stipend* rate and no more than the maximum full-time *RTP Stipend* rate as advised by *the department* according to subparagraph 1.6.10(4).
- (2) If a student selected to receive a *RTP Stipend* is approved by a *HEP* to undertake a *HDR* on a *part-time student load* basis, the student's part-time *RTP Stipend* rate will be 50 per cent of the student's full-time *RTP Stipend* rate.
- (3) Each year, a *HEP* must pay each student their full-time or part-time *RTP Stipend* rate in proportion to the period for which the student has been supported with a *RTP Scholarship*.
- (4) A *HEP* must make fortnightly payments directly to students in respect of their *RTP Stipend*. To avoid doubt, payment into an account in the student's name with an *Australian ADI* is considered to be a payment directly to the student.
- (5) HEPs must only award RTP Stipends as a result of a competitive selection process. The nature of a competitive process is to be determined by a HEP. For example, a HEP may wish to give priority to a class of students such as Indigenous students, low socioeconomic status (SES) students, students undertaking research in a particular discipline or emerging area of research strength, or students undertaking a HDR for the first time. Any competitive selection process conducted must accord with these Guidelines and the fairness requirements in Subdivision 19-D of Part 2-1 of the Act and be detailed in a HEP's RTP Scholarship Policy.

1.6.25 Additional Conditions for *RTP Fees Offset*

If a *RTP Fees Offset* is provided as part of a *RTP Scholarship* specified in subparagraph 1.6.1(1), the following additional conditions apply:

- (1) the *RTP Fees Offset* must only be used by the *HEP* to extinguish the liability of the student receiving the *RTP Scholarship* to pay tuition fees.
- (2) HEPs may award RTP Fees Offsets to domestic students although the process used must accord with these Guidelines and the fairness requirements in Subdivision 19-D of Part 2-1 of the Act and be detailed in a HEP's RTP Scholarship Policy.

(3) HEPs must only award RTP Fees Offsets to overseas students as a result of a competitive selection process. The nature of a competitive process is to be determined by a HEP although it must accord with these Guidelines and the fairness requirements in Subdivision 19-D of Part 2-1 of the Act, and be detailed in a HEP's RTP Scholarship Policy.

1.6.30 Additional Conditions for *Overseas Students*

A *HEP* may only expend up to a maximum of 10 per cent of its *RTP* Grant Amount on the provision of *RTP Scholarships* to *overseas students*.

1.6.35 Offers for *RTP Scholarships*

A *HEP* must only offer a student a *RTP Scholarship*:

- (1) as a result of a process specified in subparagraphs 1.6.20(5), 1.6.25(2) or 1.6.25(3); or
- in relation to a *RTP Allowance*, at the discretion of the *HEP*, provided the student meets the eligibility criteria in Part 1.5; or
- (3) as a result of the *HEP* agreeing to continue *RTP* support for a student who is transferring to that *HEP* and currently receiving a *RTP Scholarship*; or
- (4) if the student is a *continuing student*.

A *HEP* must offer a *RTP Scholarship* to a student (including *continuing students*) in writing and include advice of the types of assistance and support being offered, the conditions and period of support of the *RTP Scholarship*, and the estimated annual value of Australian Government support provided for each type of *RTP Scholarship* support.

A *HEP* must also advise a student receiving a *RTP Scholarship* of any changes to *RTP Scholarship* support provided by the *HEP*.

1.6.40 Termination of *RTP Scholarship*

A *HEP* must terminate a student's *RTP Scholarship*:

- (1) if the student ceases to meet the eligibility criteria specified in Part 1.5 of these Guidelines, other than during a period in which a suspension has been approved; or
- (2) on completion of the course of study; or
- if a HEP determines that the student has not complied with a requirement specified in its RTP Scholarship Policy in relation to subparagraph 1.6.45(9).

1.6.45 RTP Scholarship Policy

A *HEP* is responsible for the administration of *RTP Scholarships* and must make information about the processes, policies and conditions of scholarships readily and publicly available in a *RTP Scholarship Policy*. A *HEP* must make judgements, and provide support to students awarded *RTP Scholarships*, in accordance with its *RTP Scholarship Policy*.

A HEP's RTP Scholarship Policy must specifically identify:

- (1) a summary of the basic information for *RTP Scholarships* including, but not limited to, the information identified in these *Guidelines* in relation to eligibility criteria, types of support available, *RTP Stipend* rates and periods of support;
- (2) the application, selection and offers processes for awarding *RTP*Scholarships, including any classes of students, and a requirement that the
 HEP publishes their process or processes for awarding RTP Scholarships;
- information on arrangements for *continuing students*, if applicable, in accordance with paragraph 1.6.50;
- (4) supervision and facilities provisions, including but not limited to:
 - a. the facilities and supervision that will be provided to each student awarded a *RTP Scholarship*; and
 - b. a code of supervisory practice for students undertaking a HDR;
- (5) provisions for *suspensions*;
- information on paid leave for *RTP Stipends* in accordance with subparagraph 1.6.15;
- (7) provisions that identify the circumstances in which a *HEP* will approve a student awarded a *RTP Scholarship* undertaking work outside the *HDR* subject;
- (8) provisions for changes in the nature of a *RTP Scholarship* student's enrolment, including but not limited to:
 - a. changes in a student's fields of education;
 - b. transferring to or from another *HEP*;
 - c. changing from full-time to part-time or part-time to full-time;
 - d. converting from a *Research Masters* to a *Research Doctorate* degree, or from a *Research Doctorate* to a *Research Masters* degree;
- (9) the procedures for termination of a *RTP Scholarship* in accordance with paragraph 1.6.40, including any additional requirements in relation to subparagraph 1.6.40(3);
- (10) the grievance and review procedures for HDR students; and

arrangements for optional industry placements, *research* internships, professional practice activities or other similar enrichment activities undertaken as part of a *HDR*, including information on any impacts on duration in relation to subparagraph 1.6.5 and *RTP Stipend* rates in relation to subparagraph 1.6.10.

1.6.50 Arrangements for *Continuing Students*

A *HEP* must offer each *continuing student* a *RTP Scholarship* in a form that does not disadvantage the *continuing student* and provides at least equivalent support to that provided, or that would have been provided, through predecessor Australian Government programs.

A HEP must offer a continuing student a RTP Scholarship as follows:

- (1) *Domestic students* supported or offered support under the former Research Training Scheme must be offered *RTP Fee Offset* support for a period necessary to provide at least equivalent support to that which the student would have received under the Research Training Scheme.
- Overseas students supported or offered support under the former International Postgraduate Research Scholarships must be offered RTP Fee Offset and RTP Allowance support for a period necessary to provide at least equivalent support to that which the student would have received under the International Postgraduate Research Scholarships.
- (3) Students supported or offered support under the former Australian Postgraduate Awards must be offered *RTP Stipend* and *RTP Allowance* support for a period necessary to provide at least equivalent support to that which the student would have received under the Australian Postgraduate Awards

Periods of support specified in paragraph 1.6.5 apply for *continuing students* based on *course of study* commencement dates (not the commencement of the *RTP Scholarship*).

1.6.55 Acknowledgement of RTP Scholarship

A *HEP* must ensure that the Commonwealth's contribution is acknowledged when, at any time during or after completion of a *HDR*, the recipient of a *RTP* Scholarship, his/her supervisor or any other party, publishes or produces material such as books, articles, newsletters or other literary or artistic works which relate to the *research* project carried out by the recipient of RTP Scholarship.

A *HEP* must ensure that the Commonwealth's contribution is acknowledged in a prominent place and in an appropriate form. The acknowledgement must include the mention of the student's support through an "**Australian Government Research Training Program Scholarship**".

1.7 High-Cost and Low-Cost Fields of Education

The high-cost and low-cost fields of education for the purposes of *RTP* Grant Amounts are defined by the *FOE*. High-cost *FOEs* are those set out in the table below and low-cost *FOEs* are those not listed in the table.

| ASCED Code | ASCED Title |
|---------------|--|
| 010300-010303 | Physics and Astronomy |
| 010500-010599 | Chemical Sciences |
| 010700-010799 | Earth Sciences |
| 010900-010999 | Biological Sciences |
| 019900-019999 | Other Natural and Physical Sciences |
| 030101 | Manufacturing Engineering |
| 030300-030399 | Process and Resources Engineering |
| 030501 | Automotive Engineering |
| 030701 | Mechanical Engineering |
| 030703 | Industrial Engineering |
| 030900-030999 | Civil Engineering |
| 031100-031199 | Geomatic Engineering |
| 031300 | Electrical and Electronic Engineering and Technology |
| 031301 | Electrical Engineering |
| 031303 | Electronic Engineering |
| 031305 | Computer Engineering |
| 031307 | Communications Technologies |
| 031501 | Aerospace Engineering |
| 031503 | Aircraft Maintenance Engineering |
| 031701 | Maritime Engineering |
| 039901 | Environmental Engineering |
| 039903 | Biomedical Engineering |
| 050000-059999 | Agriculture, Environmental and Related Studies |
| 060100-060199 | Medical Studies |
| 060501 | Pharmacy |
| 060701 | Dentistry |
| 061101 | Veterinary Studies |
| 069903 | Human Movement |
| 090701 | Psychology |