



# **Other Grants Guidelines (Research) 2017**

made under section 238-10 of the

*Higher Education Support Act 2003*

## **Compilation No. 4**

**Compilation date:** 2 April 2022

**Includes amendments up to:** F2022L00494

Prepared by the Department of Education, Skills and Employment,  
Canberra

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## About this compilation

### **This compilation**

This is a compilation of the *Other Grants Guidelines (Research) 2017* that shows the text of the law as amended and in force on 2 April 2022 (the *compilation date*).

The notes at the end of this compilation (the *endnotes*) include information about amending laws and the amendment history of provisions of the compiled law.

### **Uncommenced amendments**

The effect of uncommenced amendments is not shown in the text of the compiled law. Any uncommenced amendments affecting the law are accessible on the Legislation Register ([www.legislation.gov.au](http://www.legislation.gov.au)). The details of amendments made up to, but not commenced at, the compilation date are underlined in the endnotes. For more information on any uncommenced amendments, see the series page on the Legislation Register for the compiled law.

### **Application, saving and transitional provisions for provisions and amendments**

If the operation of a provision or amendment of the compiled law is affected by an application, saving or transitional provision that is not included in this compilation, details are included in the endnotes.

### **Modifications**

If the compiled law is modified by another law, the compiled law operates as modified but the modification does not amend the text of the law. Accordingly, this compilation does not show the text of the compiled law as modified. For more information on any modifications, see the series page on the Legislation Register for the compiled law.

### **Self-repealing provisions**

If a provision of the compiled law has been repealed in accordance with a provision of the law, details are included in the endnotes.

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## **Part 1            Preliminary**

### **1            Name of Guidelines**

These Guidelines may be cited as the *Other Grants Guidelines (Research) 2017*.

### **3            Authority**

These *Guidelines* are made under section 238-10 of *the Act* for the purposes of items 7 and 11(b) of the table in subsection 41-10(1).

### **5            Transitional Arrangements**

The revocation of the *Other Grants Guidelines (Research) 2012* dated 24 September 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*.

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## Part 2 Other Grants Guidelines (Research) 2017

### COMMONWEALTH OF AUSTRALIA

#### *Higher Education Support Act 2003*

## CHAPTER i INTRODUCTION

### i.i PURPOSE

The purpose of these *Guidelines* is to provide for Other Grants under Part 2-3 of the *Higher Education Support Act 2003*.

### i.v INTERPRETATION

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

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

<i>the Act</i>	means the <i>Higher Education Support Act 2003</i>
<i>AAH</i>	Australian Academy of the Humanities
<i>AAHMS</i>	Australian Academy of Health and Medical Sciences
<i>AAS</i>	Australian Academy of Science
<i>ASSA</i>	Academy of Social Sciences in Australia Incorporated
<i>ATSE</i>	Australian Academy of Technological Sciences and Engineering
<i>ACoLA</i>	Australian Council of Learned Academies
<i>ANZAAS</i>	Australian and New Zealand Association for the Advancement of Science
<i>Category 1</i>	is Australian competitive grants <i>R&amp;D</i> income in <i>HERDC</i>
<i>Category 2</i>	is other public sector <i>R&amp;D</i> income in <i>HERDC</i>
<i>Category 3</i>	is industry and other <i>R&amp;D</i> income in <i>HERDC</i>
<i>Category 4</i>	is Cooperative Research Centre <i>R&amp;D</i> income in <i>HERDC</i>
<i>COVID-19 Supplementary Funding Pool</i>	is \$1,000,000,000 for the 2021 <i>Grant Year</i> only
<i>COVID-19 Supplementary Grant Amount</i>	is the amount determined under paragraph 1.4.30
<i>the department</i>	means the Commonwealth department responsible for administering the Act
<i>R&amp;D or research</i>	means Research and Experimental Development as defined in the Frascati Manual 2015 maintained by the

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	Organisation for Economic Cooperation and Development
<i>Grant Year</i>	means the year in respect of which the grant is made, and of which <i>the department</i> has notified the relevant <i>HEP</i>
<i>Guidelines</i>	means these <i>Other Grant Guidelines (Research) 2017</i>
<i>HEP</i>	means a higher education provider as specified in section 16-15 of <i>the Act</i> (Table A Providers) or section 16-20 of <i>the Act</i> (Table B Providers)
<i>HERDC</i>	means the Higher Education Research Data Collection maintained by <i>the department</i>
<i>HERP</i>	Higher Education Research Promotion
<i>the Minister</i>	means the Minister responsible for administering the Act
<i>research</i>	means Research and Experimental Development as defined in the Frascati Manual 2015 maintained by the Organisation for Economic Cooperation and Development
<i>RSP</i>	means the Research Support Program
<i>RSP Base Grant Amount</i>	is the amount determined under paragraph 1.4.15
<i>RSP Funding Pool</i>	is the total amount of funding for a given <i>Grant Year</i> for the <i>RSP</i> minus the <i>COVID-19 Supplementary Funding Pool</i>
i.v.iii	Unless stated otherwise, references to paragraphs refer to paragraphs in these <i>Guidelines</i> .

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## **CHAPTER 1 GRANTS TO SUPPORT RESEARCH BY, AND THE RESEARCH CAPABILITY OF, HIGHER EDUCATION PROVIDERS**

### **1.1 Purpose**

The purpose of this chapter is to specify:

- (1) in accordance with subsection 41-15(1) of *the Act* for the purpose described at item 7 of the table in subsection 41-10(1) of *the Act*, the *RSP*; and
- (2) under subsection 41-15(2) of *the Act*, some other matters relevant to the *RSP*.

## **RESEARCH SUPPORT PROGRAM**

### **1.2 Description**

The *RSP* provides block grants, on a calendar year basis, to *HEPs* to support the systemic costs of *research*.

### **1.3 Objectives**

The objectives of the *RSP* are to:

- (1) provide a flexible funding stream to support the systemic costs of *research* by Australian *HEPs*, including the indirect costs of Australian competitive grant *research*;
- (2) support the delivery of world class *research*; and
- (3) support collaboration between *HEPs* and industry and other *research* end-users.

### **1.4 Grant Amounts**

#### **1.4.1 Determination of Grants and Indexation**

For the purposes of paragraph 41-30(a) of *the Act*, the *RSP* Grant Amounts are determined in accordance with the method set out in paragraph 1.4.5 of these *Guidelines*. Note: The *RSP Funding Pool* is to be indexed in the same way as amounts are indexed under Part 5-6 of *the Act*.

#### **1.4.5 How Grant Amounts are Determined**

- (1) Subject to any adjustment that may be made under paragraph 1.4.40, the *RSP* Grant Amount paid to a *HEP* for the *Grant Year* is the sum of:



- 
- (a) the HEP's RSP Base Grant Amount calculated under paragraph 1.4.15 and any changes made through the application of the transitional safety net calculated under paragraph 1.4.20 (if applicable), and
  - (b) the HEP's COVID-19 Supplementary Grant Amount calculated under paragraph 1.4.30 (if applicable),

as rounded in accordance with paragraph 1.4.35.

### 1.4.10 Percentage Share of Competitive and Engagement Income

The formula for calculating each HEP's relative percentage share of competitive and engagement income is as follows:

$COMPETITIVE_i$  = Share of *Category 1* income for HEP *i* calculated according to the following formula:

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

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

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

where:

- $y$  = year for which the grant is given
- $y1,y2$  = the most recent ( $y1$ ) and second most recent ( $y2$ ) years for which data is available
- $i$  = HEP 1 to  $n$ , where  $n$  is the total number of HEPs
- $j$  = HEP 1 to  $n$ , where  $n$  is the total number of HEPs

### 1.4.15 RSP Base Grant Amounts

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

$$BGA_{i,y} = (COMPETITIVE_i \times A_y \times 47\%) + (ENGAGEMENT_i \times A_y \times 53\%)$$

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where:

- $COMPETITIVE_i$  = the percentage share of competitive income determined under paragraph 1.4.10 for *HEP i*
- $ENGAGEMENT_i$  = the percentage share of engagement income determined under paragraph 1.4.10 for *HEP i*
- $BGA_{i,y}$  = *RSP Base Grant Amount* for *HEP i* in year *y*
- $A_y$  = *RSP Funding Pool* in year *y*
- $y$  = year for which the grant is given
- $i$  = *HEP 1 to n*, where *n* is the total number of *HEPs*

### **1.4.20 Transitional Safety Net**

For the 2021 *Grant Year*, a transitional safety net is applied to ensure that no *HEP's RSP Base Grant Amount* for the *Grant Year* will fall below 95 per cent of that *HEP's indexed RSP Grant Amount* for the previous *Grant Year*.

The transitional safety net is applied as follows:

- (1) Each *HEP's RSP Grant Amount* for the previous *Grant Year* is indexed by multiplying that amount by the indexation component. The indexation component is determined by dividing the *RSP Funding Pool* for the *Grant Year* by the *RSP Funding Pool* for the previous *Grant Year*.
- (2) For each *HEP* whose *RSP Base Grant Amount* calculated under paragraph 1.4.15 is greater than the indexed amount calculated under subparagraph 1.4.20(1), the difference between the two amounts is included in what would be a notional safety net pool.
- (3) For each *HEP* whose *RSP Base Grant Amount* calculated under paragraph 1.4.15 is less than 95 per cent of the indexed amount calculated under subparagraph 1.4.20(1), funds are taken from the notional safety net pool created in subparagraph 1.4.20(2) to top up the *HEP's RSP Base Grant Amount* to 95 per cent of that *HEP's indexed RSP Grant Amount* for the previous *Grant Year*.
- (4) After the calculation at subparagraph 1.4.20(3), any funds remaining in the notional safety net pool are then returned to *HEPs* that added to the notional safety net pool under subparagraph 1.4.20(2), based on their percentage contribution to the safety net pool.

### **1.4.25 RSP Base Grant Amounts for 2022 and future Grant Years**

For 2022 and future *Grant Years*, the transitional safety net as specified in paragraph 1.4.20 is not applied to *RSP Base Grant Amounts*.

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### **1.4.30 COVID-19 Supplementary Grant Amounts**

For the 2021 *Grant Year*, the *COVID-19 Supplementary Grant Amount* for a *HEP* will be calculated using the same method for calculating a *RSP Base Grant Amount* specified in paragraph 1.4.15 with the *RSP Funding Pool* substituted with the *COVID-19 Supplementary Funding Pool*. The Transitional Safety Net outlined in paragraph 1.4.20 will not be applied to *COVID-19 Supplementary Grant Amounts*.

### **1.4.35 Rounding Process**

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

- (1) The Grant Amount calculated for each *HEP* under paragraph 1.4.5 is rounded down to the nearest whole dollar. The difference in cents between a *HEP*'s rounded and unrounded *RSP Grant Amount* is its Remainder. The sum of all Remainders is the Unallocated Dollars.
- (2) Each *HEP* is ranked in descending order based on how close the *HEP*'s remainder is to one hundred cents. One dollar is paid to each *HEP* in order of ranking until all Unallocated Dollars are paid.
- (3) Each *HEP*'s *RSP Grant Amount* is equal to the rounded amount calculated under subparagraph 1.4.35(1) plus any whole dollars assigned in subparagraph 1.4.35(2).

### **1.4.40 Adjustments**

- (1) If a *HEP* provides incorrect *HERDC* data used to calculate the *HEP*'s *RSP Grant Amount* for a *Grant Year*, the *HEP* must correct the information provided to *the department* ('corrected data').
- (2) If the *HEP* provides corrected data on or before 1 October in the year the data was first provided, *the department* will take into account the corrected data when calculating *RSP Grant Amounts* under paragraph 1.4.5.
- (3) Subject to subparagraph 1.4.40(4), if a *HEP* provides corrected data after 1 October in the year the data was first provided, the corrected data will not be used to calculate, or adjust, the *HEP*'s *RSP Grant Amount* for a *Grant Year*.
- (4) Where corrected data is provided in accordance with subparagraph 1.4.40(3), *the department* will use the method specified in paragraph 1.4.5 to determine the Grant Amount the *HEP* would have been paid for the *Grant Year* if the corrected data had been used. If *the department* determines that the *HEP* has received an overpayment in respect of the *Grant Year*, the *HEP* must repay the amount of the overpayment to *the department*.

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#### **1.4.45 Rollover of Grant Amounts**

A *RSP* grant is made in respect of the relevant *Grant Year* for the purpose of section 41-40 of *the Act*.

#### **1.5 Conditions that Apply to *RSP* Grants**

Conditions that apply to *RSP* grants will be determined in writing by *the Minister*, or his or her delegate, under subsection 41-25(b)(i) of *the Act*. The latest version of the Conditions of Grant for the *RSP* is linked from the *RSP* page on *the department's* web site.

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## **CHAPTER 2 GRANTS FOR ACTIVITIES THAT FOSTER AN UNDERSTANDING OF THE IMPORTANCE OF, OR PROMOTE RESEARCH AND SCHOLARSHIP IN, SCIENCE, SOCIAL SCIENCE OR THE HUMANITIES IN AUSTRALIA**

### **2.1 Purpose**

The purpose of this chapter is to specify:

- (1) in accordance with subsection 41-15(1) of *the Act*, for the purpose described at item 11(b) of the table in subsection 41-10(1) of *the Act*, the *HERP*; and
- (2) under subsection 41-15(2) of *the Act*, some other matters relevant to the *HERP* grants.

## **HIGHER EDUCATION RESEARCH PROMOTION**

### **2.5 Organisations Eligible to Receive Grants**

The following organisations are eligible to receive grants under the *HERP*:

- (1) Australian and New Zealand Association for the Advancement of Science (*ANZAAS*);
- (2) Australian Council of Learned Academies (*ACoLA*) (peak body for the Learned Academies);
- (3) The Learned Academies:
  - (aa) Australian Academy of Health and Medical Sciences (*AAHMS*);
  - (a) Australian Academy of the Humanities (*AAH*);
  - (b) Australian Academy of Science (*AAS*);
  - (c) Australian Academy of Technological Sciences and Engineering (*ATSE*); and
  - (d) Academy of Social Sciences in Australia Incorporated (*ASSA*).

### **2.10 HERP Description**

The *HERP* provides grants under *the Act* to foster an understanding of the importance of, and/or promote *research* and scholarship in, science, social science or the humanities in Australia.

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## 2.15 *HERP* Objectives

The objectives for each *HERP* grant to each of the relevant eligible organisations are:

- (1) *ANZAAS*: To cover the costs of transportation and accommodation for approximately five students from each Australian State and Territory to attend the annual Youth Conference;
- (2) *ACoLA* (peak administrative body for the Learned Academies): To support cooperation between the five Learned Academies, to provide a common point of access to the five Learned Academies for outside organisations and individuals, and promote a unified national vision, helping to enhance interactions between the five Learned Academies without compromising their individual priorities or activities;
- (3) Learned Academies:
  - (a) The *AAS*, *ATSE*, *AAH*, *ASSA* and *AAHMS*: To provide secretariat and other administrative support to enable the Academies and their fellows to contribute advice and assistance on issues of national importance, to conduct workshops, forums, symposia and similar events so that the Academies and their fellows can engage on issues of national importance, to manage the development and conduct of policy, education and other programs, and to support relationships with international communities including exchange programs and joint *research* programs.

## 2.20 Conditions that Apply to *HERP* Grants

Conditions that apply to the *HERP* grants will be determined in writing by *the Minister*, or his or her delegate, under subsection 41-25(b)(i) of *the Act*.

## 2.25 *HERP* Grant Amounts

The *HERP* grant amounts will be determined in writing by *the Minister*, or his or her delegate, under subsection 41-30(b) of *the Act*. Grants made through the *HERP* are indexed in accordance with Part 5-6 of *the Act*.

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## CHAPTER 3—AUSTRALIA’S ECONOMIC ACCELERATOR LAUNCH PROGRAM

### 3.1 Program

The Australia’s Economic Accelerator Launch Program (*AEA Launch Program*) is specified for the purposes of:

- (a) supporting research by, and the research capability of, higher education providers; and
- (b) encouraging higher education providers to engage with industry.

### 3.5 Program objectives

The objectives of the AEA Launch Program are to:

- (a) Support higher education providers to bridge the divide between basic research activities and commercialisation outcomes, through closer engagement with industry partners;
- (b) support research activities aligned to national priority areas, undertaken by higher education providers;
- (c) boost the research capability of higher education providers to conduct research with high commercialisation potential;
- (d) foster a culture of collaboration between universities and industry; and
- (e) encourage industry engagement with university research, boosting research capability in areas with the greatest potential for economic impact.

### 3.10 Extra conditions of eligibility

- (1) Grants under the AEA Launch Program may only be provided to support projects that align with one of the priority areas as set by the Minister in program guidelines.
- (2) Grants under the AEA Launch Program may be provided across two stages:
  - (a) The first stage will operate as follows—eligible higher education providers seeking a grant at this stage must demonstrate industry engagement with the proposed project, and be able to demonstrate that the project activities are designed to provide:
    - (i) an experimental proof of concept;
    - (ii) that the technology will be validated in a laboratory (or equivalent setting); or

- 
- (iii) that the technology will be validated in an industrially relevant environment.
  - (b) The second stage will operate as follows—eligible higher education providers seeking a grant at this stage must provide a project plan that demonstrates a plan, developed in association with an industry partner, in respect of the technology proposed in their project:
    - (i) that the technology will be validated in an industrially relevant environment;
    - (ii) that the technology will be demonstrated in an industrially relevant environment; or
    - (ii) the system prototype will be demonstrated in an operational environment.

### **3.15 Approval of grants**

Grants under the AEA Launch Program will be:

- (a) approved by the Minister in writing;
- (b) made in respect of projects; and
- (c) subject to conditions imposed on the grant by the Minister in writing under paragraph 41-25(1)(c) of the Act.



## Endnotes

### Endnote 1—About the endnotes

The endnotes provide information about this compilation and the compiled law.

The following endnotes are included in every compilation:

Endnote 1—About the endnotes

Endnote 2—Abbreviation key

Endnote 3—Legislation history

Endnote 4—Amendment history

### Abbreviation key—Endnote 2

The abbreviation key sets out abbreviations that may be used in the endnotes.

### Legislation history and amendment history—Endnotes 3 and 4

Amending laws are annotated in the legislation history and amendment history.

The legislation history in endnote 3 provides information about each law that has amended (or will amend) the compiled law. The information includes commencement details for amending laws and details of any application, saving or transitional provisions that are not included in this compilation.

The amendment history in endnote 4 provides information about amendments at the provision (generally section or equivalent) level. It also includes information about any provision of the compiled law that has been repealed in accordance with a provision of the law.

### Misdescribed amendments

A misdescribed amendment is an amendment that does not accurately describe the amendment to be made. If, despite the misdescription, the amendment can be given effect as intended, the amendment is incorporated into the compiled law and the abbreviation “(md)” added to the details of the amendment included in the amendment history.

If a misdescribed amendment cannot be given effect as intended, the abbreviation “(md not incorp)” is added to the details of the amendment included in the amendment history.

**Endnote 2—Abbreviation key**

ad = added or inserted	o = order(s)
am = amended	Ord = Ordinance
amdt = amendment	orig = original
c = clause(s)	par = paragraph(s)/subparagraph(s) /sub-subparagraph(s)
C[x] = Compilation No. x	pres = present
Ch = Chapter(s)	prev = previous
def = definition(s)	(prev...) = previously
Dict = Dictionary	Pt = Part(s)
disallowed = disallowed by Parliament	r = regulation(s)/rule(s)
Div = Division(s)	renum = renumbered
exp = expires/expired or ceases/ceased to have Effect	rep = repealed
F = Federal Register of Legislation	rs = repealed and substituted
gaz = gazette	s = section(s)/subsection(s)
LA = <i>Legislation Act 2003</i>	Sch = Schedule(s)
LIA = <i>Legislative Instruments Act 2003</i>	Sdiv = Subdivision(s)
(md) = misdescribed amendment can be given Effect	SLI = Select Legislative Instrument
(md not incorp) = misdescribed amendment cannot be given effect	SR = Statutory Rules
mod = modified/modification	Sub-Ch = Sub-Chapter(s)
No. = Number(s)	SubPt = Subpart(s)
	<u>underlining</u> = whole or part not commenced or to be commenced

## Endnote 3—Legislation history

## Endnote 3—Legislation history

<b>Name</b>	<b>Registration</b>	<b>Commencement</b>	<b>Application, saving and transitional provisions</b>
Other Grants Guidelines (Research) 2017	10 Oct 2015 (F2016L01603)	11 Oct 2015 (s 2)	
Other Grants Guidelines (Research) Amendment (No. 1) 2019	5 Dec 2019 (F2019L01575)	6 Dec 2019 (s 2)	—
Other Grants Guidelines (Research) Amendment (No. 1) 2020	22 July 2020 (F2020L00936)	23 July 2020 (s 2(1) item 1)	—
Other Grants Guidelines (Research) Amendment (No. 2) 2020	17 Nov 2020 (F2020L01437)	18 November 2020 (s 2(1) item 1)	Section 5
Other Grants Guidelines (Research) Amendment (Australia's Economic Accelerator Launch Program) 2022	1 April 2022 (F2022L00494)	2 April 2022 (s 2)	

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**Endnote 4—Amendment history**

<b>Provision affected</b>	<b>How affected</b>
<b>Part 1</b>	
s 2 .....	rep LA s 48D
s 4 .....	rep LA s 48C
<b>Chapter i</b>	
s i.v. ....	am F2019L01575; F2020L00936; F2020L01437
<b>Chapter 1</b>	
1.4.5 .....	rs F2019L01575
1.4.15 .....	am F2020L00936
1.4.20 .....	rs F2019L01575; F2020L00936
1.4.26 .....	ad F2019L01575
1.4	rs F2020L01437
<b>Chapter 2</b>	
2.5	ad F2020L01437
2.15	am F2020L01437
<b>Chapter 3</b>	
3.1	ad F2022L00494
3.5	ad F2022L00494
3.10	ad F2022L00494
3.15	ad F2022L00494