



Other Grants 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 *Other Grants Guidelines (Research) 2012* dated 24 September 2012 and make the attached *Other Grants Guidelines (Research) 2017* for the purposes of section 41-15 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 *Other Grants 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 items 7 and 11(b) of the table in subsection 41-10(1).

4 Revocation

The *Other Grants Guidelines (Research) 2012* dated 24 September 2012 (F2012L02010) are revoked.

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*.

Part 2 Other Grants Guidelines (Research) 2017

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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>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>research</i> income in <i>HERDC</i>
<i>Category 2</i>	is other public sector <i>research</i> income in <i>HERDC</i>
<i>Category 3</i>	is industry and other <i>research</i> income in <i>HERDC</i>
<i>Category 4</i>	is Cooperative Research Centre <i>research</i> income in <i>HERDC</i>
<i>the department</i>	means the Commonwealth Department of Education and Training
<i>Funding Pool</i>	is the total amount of funding available to <i>the department</i> for a given <i>Grant Year</i> for the <i>RSP</i>
<i>Funding Pool A</i>	is the <i>Funding Pool</i> amount minus <i>Funding Pool B</i>
<i>Funding Pool B</i>	is \$50,000,000 for the 2017 <i>Grant Year</i> , indexed in later years in accordance with paragraph 1.4.1
<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 Commonwealth Minister for Education and Training
<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.v.iii	Unless stated otherwise, references to paragraphs refer to paragraphs in these <i>Guidelines</i> .

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

In accordance with subsection 41-30(a) of *the Act*, the *RSP* Grant Amounts will be determined in accordance with the method set out in paragraph 1.4.5 of these *Guidelines*.

Funding Pool and *Funding Pool B* amounts for the *RSP* are indexed in accordance with Part 5-6 of *the Act*.

1.4.5 How Grant Amounts are Determined

The *RSP* Grant Amount allocated to a *HEP* for the *Grant Year* comprises the sum of:

- (a) the *HEP*'s *RSP* Basic Grant Amount calculated in paragraph 1.4.10, and
- (b) any adjustments made through the application of the transitional safety net calculated in paragraph 1.4.15 (if applicable)

as rounded in accordance with paragraph 1.4.25.

1.4.10 Basic Grant Amounts

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

$$BGA_{i,y} = (0.50 * A_y * COMPETITIV E_i) + (0.50 * A_y * ENGAGEMENT_i) + (B_y * ENGAGEMENT_i)$$

where:

$BGA_{i,y}$ = Basic Grant Amount from the *RSP* for i^{th} *HEP* in year y

A_y = *Funding Pool A* in year y

B_y = *Funding Pool B* in year y

$COMPETITIV E_i$ = Share of *Category 1* income for i^{th} provider calculated according to the following formula:

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

$ENGAGEMENT_i$ = Share of *Category 2, Category 3 and Category 4* income for i^{th} provider calculated according to the following formula:

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

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*

1.4.15 Transitional Safety Net

For the *Grant Years* 2017, 2018, 2019 and 2020, a transitional safety net is applied to ensure that no *HEP*'s *RSP* 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 to current prices by multiplying that amount by the indexation component. The indexation component is determined by dividing the *Funding Pool* for the *Grant Year* by the *Funding Pool* for the previous *Grant Year*.
 - a) For the 2017 *Grant Year* only, each *HEP's RSP Grant Amount* for the previous *Grant Year* is equal to the total of grant amounts received by that *HEP* in 2016 under the former Joint Research Engagement, Research Infrastructure Block Grants and Sustainable Research Excellence programs.
 - b) For the 2017 *Grant Year* only, the *Funding Pool* for the previous *Grant Year* is equal to the total of grant amounts allocated to all *HEPs* in 2016 under the former Joint Research Engagement, Research Infrastructure Block Grants and Sustainable Research Excellence programs.
- (2) For each *HEP* whose Basic Grant Amount calculated in paragraph 1.4.10 is greater than the indexed amount calculated in subparagraph 1.4.15(1), the difference between the two amounts is placed in the safety net pool.
- (3) For each *HEP* whose Basic Grant Amount calculated in paragraph 1.4.10 is less than 95 per cent of the indexed amount calculated in subparagraph 1.4.15(1), funds are taken from the safety net pool created in subparagraph 1.4.15(2) to top up the *HEP's RSP 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 1.4.15(3), any funds remaining in the safety net pool are then returned to *HEPs* that contributed to the safety net pool in subparagraph 1.4.15(2), based on their percentage contribution to the safety net pool.

1.4.20 Grant Amounts for 2021 and Future *Grant Years*

For the 2021 and future *Grant Years*, each *HEP's RSP Grant Amount* is equal to that *HEP's Basic Grant Amount* calculated in paragraph 1.4.10.

1.4.25 Rounding Process

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

- (1) The Grant Amount calculated for 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 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 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 RSP* 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).

1.4.30 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.

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:
 - (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.

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 four Learned Academies, to provide a common point of access to the four Learned Academies for outside organisations and individuals, and promote a unified national vision, helping to enhance interactions between the four Learned Academies without compromising their individual priorities or activities;
- (3) Learned Academies:
 - (a) The *AAS*, *ATSE*, *AAH*, and *ASSA*: 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*.