Other Grants Guidelines (Research) 2017

COMMONWEALTH OF AUSTRALIA

Higher Education Support Act 2003


Dated 30 September 2016

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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.
# Other Grants 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 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:

- **the Act** means the Higher Education Support Act 2003
- **AAH** Australian Academy of the Humanities
- **AAS** Australian Academy of Science
- **ASSA** Academy of Social Sciences in Australia Incorporated
- **ATSE** Australian Academy of Technological Sciences and Engineering
- **ACoLA** Australian Council of Learned Academies
- **ANZAAS** Australian and New Zealand Association for the Advancement of Science
- **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
- **the department** means the Commonwealth Department of Education and Training
- **Funding Pool** is the total amount of funding available to the department for a given Grant Year for the RSP
- **Funding Pool A** is the Funding Pool amount minus Funding Pool B
- **Funding Pool B** is $50,000,000 for the 2017 Grant Year, indexed in later years in accordance with paragraph 1.4.1
- **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 Other Grant Guidelines (Research) 2017
- **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
HERP  Higher Education Research Promotion
the Minister  means the Commonwealth Minister for Education and Training
research  means Research and Experimental Development as defined in the Frascati Manual 2015 maintained by the Organisation for Economic Cooperation and Development
RSP  means the Research Support Program
i.v.iii  Unless stated otherwise, references to paragraphs refer to paragraphs in these Guidelines.
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:

\[
BGA_{i,y} = \left(0.50 \times A_y \times \text{COMPETITIV } E_i\right) + \left(0.50 \times A_y \times \text{ENGAGEMENT } i\right) + \left(B_y \times \text{ENGAGEMENT } i\right)
\]

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 \( y \)

\( \text{COMPETITIV } E_i = \) Share of Category 1 income for \( i^{th} \) provider calculated according to the following formula:

\[
\text{COMPETITIV } E_i = \frac{\text{Category } 1_{i,y_1} + \text{Category } 1_{i,y_2}}{\sum_{j=1}^{n} (\text{Category } 1_{j,y_1} + \text{Category } 1_{j,y_2})}
\]

\( \text{ENGAGEMENT } i = \) Share of Category 2, Category 3 and Category 4 income for \( i^{th} \) provider calculated according to the following formula:

\[
\text{ENGAGEMENT } i = \frac{\text{Category } 2,3,4_{i,y_1} + \text{Category } 2,3,4_{i,y_2}}{\sum_{j=1}^{n} (\text{Category } 2,3,4_{j,y_1} + \text{Category } 2,3,4_{j,y_2})}
\]

\( y = \) Year for which the grant is given

\( y_1, y_2 = \) the most recent (\( y_1 \)) and second most recent (\( y_2 \)) 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**:
   - **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.