Australian Government Specifications for Categories of Research

The University of Canberra must report all research income to the Australian Government via the Higher Education Research Data Collection (HERDC) which is part of the funding calculation for universities. This data collection comprises research income and research publications data. The HERDC specifications control the collection of higher education research data and are designed to ensure the Australian Government’s research block grants are allocated in a fair and transparent way and to support the policy intent of the funding. To read more about HERDC specifications and what may be included as research or not, and under which category, you may read the HERDC specifications document available here – be sure to read the latest one.

Category 1: Australian Competitive Grants

Category 1 consists only of those research schemes/programs listed on the Australian Competitive Grants Register

To find out if your funder is listed click here. For example an ARC or NHMRC grant.

Grants received from the Australian Government and not included in the latest ACGR may be eligible for inclusion in Category 2: Other Public Sector Research Income.

Category 2: Other Public Sector Research Income

Category 2 includes:

- any other research income received from the Australian Government that is not eligible for inclusion as Category 1 research income
- research income from Australian Government business enterprises
- research income (including contract research) from both state and local governments
- research income from state government business enterprises
- research income from partly government owned or funded bodies
- research income from CRCs in which the University was not a core participant or participant (i.e. was not a signatory to the Commonwealth Agreement during the reporting period).

Category 3: Industry and Other Research Income

Industry and Other Research Income must be categorised in the following subcategories:

**Australian:**

- Contracts
- Grants
- Donations, bequests and foundations

**International A: Competitive, Peer-Reviewed Research Grant Income**

Competitive, peer reviewed grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants.
International B: Other Income
Any other income research income from non-Australian Industry or Governments that cannot be included in International A research income such as:

- Contracts
- Grants
- Donations, bequests and foundations

Additional Subcategory Explanatory Material

Australian:

- Contract research income provided by industry or other non-government agencies
- Grants for research other than government provided grants (which should be reported in either Category 1 or Category 2)
- Donations and bequests for research from Australian business, Australian non-profit organisations and Australian individuals
- Income received from syndicated research and development arrangements.

Many research income arrangements involve grants covered by a contract. In categorising funds as either contract research income or grant income, universities should regard:

- Funding for research where the project was developed primarily by the funding agency, or jointly by the funding agency and the investigator(s) as contract research income
- Funding for research where the project was developed primarily by the investigator(s) as grant income.

International A:

- Competitive grants, peer reviewed grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants.
- In order to qualify for inclusion in this category the granting schemes must comply with the following criteria:
  a. Funds must be provided on a competitive basis and clearly be for research only
  b. The funding scheme must have a well-defined mechanism for competition and selection by a well-qualified panel
  c. Grants in kind such as the use of facilities, equipment etc. or subsidised travel or accommodation are not eligible
  d. Funding schemes used exclusively to fund student scholarships are not eligible
  e. Schemes that provide funding wholly or mainly for infrastructure purposes are not eligible.

International B:

- Contract research provided by non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants
- Non-competitive grants for research from non-Australian industry or non-Australian Government agencies including non-Australian industry collaborative research grants
- Donations and bequests for research from non-Australian business, non-Australian non-profit organisations, and non-Australian individuals.
Category 4: Cooperative Research Centre (CRC) Research Income

Under Category 4: CRC Research Income, universities must report the research income received for the financial year from a CRC in which they were a 'core participant' (for CRCs funded prior to the 2006 CRC selection round) or 'participant' (for CRCs funded in the 2006 selection round). A university is regarded as a core participant or participant if it is a signatory to the CRC's Commonwealth Agreement.

Income received from CRCs in which the reporting university is not core participant or participant must be reported under Category 2: Other Public Sector Research Income.

Net receipted income which can be included in the Research Income Return

- stipends and scholarships for HDR students enrolled at the HEP, unless explicitly excluded in section 7.3 of Part A of HERDC Specifications
- competitive, peer reviewed HDR stipend and scholarships from non-Australian industry or non-Australian Government agencies
- income derived from the investment of donations, bequests and foundations
- travel grants where funds are provided specifically for the purpose of travel and used to enable access to a program of research. Researchers using the funds are expected to be active participants in the research program, rather than observers or visitors
- funds provided for the conduct of clinical trials provided the purpose of the trial meets the definition of research
- research infrastructure grants (unless explicitly excluded in section 7.3 of Part A of HERDC Specifications). This includes grants for specific and specialised equipment used for the conduct of research
- income from overseas HEPs provided specifically for the conduct of research
- income used to manage staff directly engaged in the conduct of research or providing professional, technical or clerical support or assistance to those staff
- income received in support of:
  - professional, technical, administrative or clerical support staff directly engaged in activities essential to the conduct of research
  - the activities and training of HDR students enrolled at the HEP: this includes funds providing the cost of a student’s HDR fee-paying place, but excluding Commonwealth supported places or places funded through the RTS. Funds include tuition fees that fee paying students (non Commonwealth supported) pay to their HEP for a HDR program or HDR-related course of study
- the development of HDR training and courses
- the supervision of students enrolled at the HEP and undertaking HDR training and courses
• research and experimental development into applications software, new programming languages and new operating systems (such R&D would normally meet the definition of research as per section 1.3.10).

• for the HERDC reference year, where a HEP receives a general or untied grant from an Australian government (whether Commonwealth, state, territory or local) for the purposes of conducting research, the HEP may report the proportion of that grant that can be clearly and transparently attributed as to be expended on the direct costs of conducting research (see section 7.6). HEPS must exclude indirect costs of conducting research to be expended from the grant.

Research income which cannot be included in the Research Income Return

• any income above the amount of net receipted income

• any research income received by the HEP from its subsidiaries

• any research income received by the HEP from any other Australian HEP or its subsidiaries except in respect of shared research income (in accordance with section 7.8 of Part A) or transfers (in accordance with section 7.9 of Part A)

• any income received by a HEP or its subsidiaries for the rental and use of its facilities and accommodation, even if this is related to the conduct of research

• any third party income (except where the third party is a subsidiary of the HEP or where the HEP has made payments for goods and services in support of the conduct of research under the control of the HEP)

• any scholarships or grants that are provided by the HEP for its own students

• income received in respect of fees that have been charged by a HEP to a domestic HDR student who has exhausted his/her RTS funding entitlement and has continued his/her enrolment

• income received in respect of Commonwealth contributions paid by the Australian Government directly to HEPS for Commonwealth supported places

• income received by honours students, or by HEPS on behalf of honours students, for the research component of their honours degrees, including externally funded scholarships or stipends

• any research income not related to a HEP but received by its affiliated organisation/s

• in-kind contributions

• capital grants

• National Collaborative Research Infrastructure Strategy (NCRIS), Australian Research Council (ARC) Linkage-Infrastructure, Equipment and Facilities (LIEF), and Independent Research Institutes Infrastructure Support Scheme (IRIISS) grants
• grants from the Higher Education Endowment Fund (HEEF) or the Education Investment Fund (EIF)

• funds received through the ARC’s Research Networks scheme

• funds from the Commonwealth Grants Scheme (CGS)

• for the HERDC reference year, income received from a general or untied grant from an Australian government (whether Commonwealth, state, territory or local) that cannot be attributed as to be expended on the direct costs of conducting research, even if the income was provided for research purposes. HEPs must not include indirect costs of conducting research that are to be expended from the grant (see section 7.6)

• income received from government grants that are for other purposes which have been specified by the funding source or sponsor (such as teaching), even if a proportion of income is to be expended on the conduct of research at the HEP’s discretion

• income received by HEPs from the sale of assets, even if that income is to be expended on the conduct of research at the HEP’s discretion

• funds provided specifically for the purpose of hosting, organising or travel to and attending a conference, workshop or meeting unless funds are specifically for enabling access to a program of research

• funds provided specifically for the purpose of producing research publications (that is, for publishing research rather than conducting it)

• consultancy fees for projects that do not meet the definition of research

• interest income accruing to research grants and contract research grants

• research income received by independent operations which do not meet the definition of a subsidiary as defined at section 1.3.13

• income from the High Performance Computing and Communications Program, to or through the Australian Partnership for Advanced Computing

• income provided for preparation for teaching

• funds used for:
  • scientific and technical information services
  • general purpose or routine data collection
  • standardisation and routine testing
  • feasibility studies (except into research and experimental development projects)
  • specialised routine medical care
• commercial, legal and administrative aspects of patenting, copyright or licensing activities
• routine computer programming, systems work or software maintenance

Grants from the following Department of Innovation programs:

• Research Training Scheme (RTS)
• Joint Research Engagement (JRE)
• Sustainable Research Excellence (SRE)
• Research Infrastructure Block Grants (RIBG)
• Commercialisation Training Scheme (CTS)
• Australian Postgraduate Awards (APA)
• International Postgraduate Research Scholarships (IPRS)
• Collaborative Research Networks (CRN)