

# Deputy Vice-Chancellor (Research) Research Sustainability Fee Guideline

## Section 1 - Overview

(1) These Guidelines provide advice on the DVCR Research Sustainability Fee which is levied on research grant income classified within the [Australian Government Department of Education and Training's Research Support Program \(RSP\)](#) as Category 2 or Category 3 funding. A description of the funding categories can be found in the Australian Government Department of Education and Training's current [Higher Education Research Data Collection \(HERDC\) Specifications](#).

## Section 2 - Scope

(2) These Guidelines apply to UNE Representatives who have research grant income classified as Category 2 or Category 3 income within the [Australian Government Department of Education and Training's Research Support Program \(RSP\)](#).

## Section 3 - Guidelines

### General

(3) Activities other than teaching undertaken by academics include Fundamental Research, Competitive Research, Commissioned Research (sometimes referred to as commercial research), Fee-for-Service Consultancy or University of New England-approved private paid outside work.

(4) The University of New England (UNE) currently has [Private Paid Outside Work Procedures](#) which cover Fee-for-Service Consultancies and other private paid outside work. These activities are managed via People and Culture, in conjunction with the relevant Faculty.

(5) The DVCR Research Sustainability Fee is not levied on CRC-funded Research (Category 4) for which a Faculty/Infrastructure fee is factored in as in-kind, as specified in the Commonwealth Agreement(s).

(6) International Competitive Grants are classified as Category 3 funding and are subject to the DVCR Research Sustainability Fee.

### Australian Government Research Support

(7) For Category 1 grants, as defined in the Department of Education and Training's [HERDC Specifications](#), the University receives additional funding under the [Australian Government Research Support Program \(RSP\)](#), and in this case, a DVCR Research Sustainability Fee will not apply.

(8) If there is uncertainty as to which Category of funding the proposal fits into, then Research Services should be consulted for a determination in the first instance.

(9) Where a researcher is dissatisfied with the determination of Research Services, then the matter is to be referred to the DVCR for final determination.

### **DVCR Research Sustainability Fee**

(10) The DVCR Research Sustainability Fee is levied on all research contracts which are not classified as either Category 1 or Category 4.

(11) The DVCR Research Sustainability Fee should be included in the funding application or proposal.

(12) Researchers will need to indicate the applicability of the DVCR Research Sustainability Fee on the [Project Approval Form \(PAF\)](#).

(13) Where funds for a research contract are paid by instalments or similar, the DVCR Research Sustainability Fee will be applied to each instalment upon receipt of the payment for that instalment.

### **Partial Waiver of DVCR Research Sustainability Fee**

(14) Applications to reduce or waive a portion of the DVCR Research Sustainability Fee are to be made on a case-by-case basis to Research Services prior to final submission of the funding application, and will be considered for approval by the DVCR.

(15) Normally, a waiver would only be considered for very small research grants (eg. <\$15K total value), or grants where funds are foremost aimed at supporting Higher Degree by Research (HDR) project costs.

(16) Partial waivers (ie. a reduction to 10% of fee) would normally only be considered for research grants from a number of Foundations (eg. Ian Potter Foundation), or research grants from a range of small Non-Profit Organisations (NGOs) of strategic partnership importance to the University.

### **Records Management**

(17) Electronic records relating to any action or decision made under these Guidelines must be recorded in accordance with the University's [Records Management Rule](#).

### **Authority and Compliance**

(18) The Guideline Administrator, the Deputy Vice-Chancellor Research, makes these Guidelines.

(19) UNE Representatives must observe these Guidelines in relation to University matters.

(20) These Guidelines operate as and from the Effective Date.

(21) Previous guidelines on the DVCR Research Sustainability Fee and related documents are replaced and have no further operation from the Effective Date of this new Guideline.

## **Section 4 - Definitions Specific To These Guidelines**

(22) [Higher Education Research Data Collection \(HERDC\)](#) comprises of research income data submitted by universities to the Australian Government Department of Education each year.

(23) [Research Support Program \(RSP\)](#) provides block grants, on a calendar year basis, to higher education providers to support the systemic costs of research not supported directly through competitive and other grants, such as libraries, laboratories, consumables, computing centres and the salaries of support and technical staff.



## Status and Details

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## Glossary Terms and Definitions

**"UNE Representative"** - Means a University employee (casual, fixed term and permanent), contractor, agent, appointee, UNE Council member, adjunct, visiting academic and any other person engaged by the University to undertake some activity for or on behalf of the University. It includes corporations and other bodies falling into one or more of these categories.

**"Research"** - Is the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative. (Defined by the Australian Research Council)

**"Effective Date"** - means the Rule/Policy takes effect on the day on which it is published, or such later day as may be specified in the policy document.

**"Faculty"** - An organisational unit consisting of a group of related Schools, which is responsible for coordinating the management and quality of the teaching and research conducted by those Schools.