

RESEARCH PROJECTS POLICY AND PROCEDURE



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1 PURPOSE

- 1.1 CQUniversity engages in Research Projects with Research Funds received from Funding Agencies as an essential function of the University and with the aim of achieving its strategic goals. This Policy sets out the approach established by the University to ensure that Research Projects are appropriately identified and costed and Research Funds applied so that the University maintains a reputation for transparency and accountability.

2 SCOPE

- 2.1 The Policy apply to all activities that meet the Higher Education Research Data Collection (HERDC) Specifications definition of research, and are hence registered by the University as Research Projects.

3 POLICY STATEMENT

- 5.1 All Research Funds received by the University are subject to audit and shall accordingly be administered in a fashion which will sustain audit and will enhance the University's reputation as a reputable and trustworthy manager of research income.
- 5.2 All Research Funds applied for or solicited directly from a Funding Agency must be reported to the Research Division and must be administered in accord with this policy.

What is research?

- 5.3 For the purposes of these Principles the University has adopted the definition of research provided by the Higher Education Research Data Collection Specifications.
- 5.4 “The HERDC definition of research is consistent with the OECD definition of research and experimental development (R&D) set out in the 2015 Frascati Manual and is therefore defined as:
‘creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge’”

Types of research

- 5.5 The university sector further recognises the existence of three different types of research. They are - collaborative research and development, contract research, and sponsored research.
- 5.6 Collaborative Research and Development occurs where:
- jointly sponsored research projects are developed between a university and a partner, and
 - ownership of intellectual property arising from the project is negotiated on a case by case basis and depends on:
 - the equity contributions of both parties
 - the existing intellectual property brought to the project by each party, and
 - the industry partner would usually have the right to exploit commercially the final intellectual property in return for a royalty to be paid to the university.
- 5.7 Contract Research occurs where:
- a request is made by industry or a Government agency for a specified research project to be carried out with identified aims and objectives
 - the research project is often undertaken on the basis of a competitive bid for funds from industry or an agency
 - it is anticipated that the research will result in a deliverable product or report of commercial importance to industry or an agency, and
 - ownership of intellectual property is negotiated between the parties and depends on the financial and intellectual contributions of both parties.
- 5.8 Sponsored Research occurs where:
- the funding is frequently proposal driven on a competitive basis
 - the research is mainly basic or strategic but not usually concerned with commercial outcomes, and
 - the intellectual property results may be owned by the University.
- 5.9 Examples of sponsored research include the major project funding by the Australian Research Council (ARC) and the National Health and Medical Research Council (NHMRC).
- 5.10 Each of the above three types of research result in the development of a theoretical novelty or a new methodological process, which conforms to the HERDC definition of research.

Distinction between research and consultancy

- 5.5 Consulting activity is different from any of the three areas of research defined above as it does not result in the development of a theoretical novelty or a new methodological process.
- 5.6 Consultancy occurs where:
- the project involves buying the skills and expertise (pre-existing know how) of University staff and equipment to work on a specified project, and

- the sponsor would expect to own the intellectual property (advice) arising from the paid consultancy and would also expect complete confidentiality on the part of the University.

5.7 The University regards it as important to recognise the distinction between research and consultancy activities, as this will determine the most appropriate mechanism by which to calculate costs and then charge for undertaking the activity. Researchers undertaking consultancy activities should refer to the University Paid Outside Work Procedure, available on the University intranet.

Costing of research projects

5.8 Costing of Research Projects is to be undertaken in accordance with this Policy. A Research Budget tool will be provided on Research Moodle page for this purpose.

Application of research funds

5.9 Research Funds must only be used for the Research Project as agreed in the Research Agreement between CQUniversity and the Funding Agency or Agencies.

5.10 The Research Funds will be administered by the Research Division in a manner to allow for transparent and accountable reports on the use of the Research Funds.

4 PROCEDURE

Calculating research project costs

4.1 In preparing a Research Project application, tender, or proposal the researcher must follow the following procedure.

Use of research activity workbook

4.2 A Research Budget tool will be available from Research Moodle page to assist researchers in the preparation of an appropriate Research Project budget.

4.3 In the first instance the full cost of a Research Project will be calculated using the tool. In all cases all Direct Costs and all Indirect Costs should be calculated and included in the Worksheet.

Calculating indirect costs

4.4 The true value of Indirect Costs attributable to individual research projects is difficult to calculate. The Research Committee shall establish, from time to time, a University Overhead to be applied to individual research projects towards recovery of these Indirect Costs. The University Overhead shall be calculated as:

For funds to be retained by CQUniversity

Total Direct Costs x 0.2 = University Overhead Charge.

E.g. Total Direct Costs = \$4,000. The University Overhead charge will be \$800. The total cost charged to the Funding Agency will be \$4,800.

For funds to be distributed to a Collaborating Organisation

Total Direct Costs to be distributed to the Collaborating Organisation x 0.05 = University Overhead Charge.

E.g. Total Direct Costs = \$4,000. CQUniversity is to retain \$3,500 and \$500 is to be distributed to a Collaborating Organisation where part of the research will be undertaken. The total charge to the Funding Agency will be $(\$3,500 + \$3,500 \times 0.2) + (\$500 + \$500 \times 0.05) = \$4,725$.

4.5 The University Overhead charge is mandatory for all Research Projects, except where its application is **waived or reduced** in writing by the Deputy Vice-Chancellor (Research).

- 4.6 The University Overhead income shall be distributed as follows:
- 50% to the nominated host School(s), and
 - 50% to the Research Division.
- 4.7 The host School may elect to impose an additional overhead to individual Research Projects where they determine that facility requirements will be over and above standard usage. The additional overhead will be distributed entirely to the School imposing the additional charge.

Recoverable costs

- 4.8 In negotiating the amount of Research Funding to be sought from the Funding Agency the following principles will apply:
- direct Costs must be recovered except where specifically excluded by Funding Agency guidelines (for example some Funding Agencies will not fund Chief Investigator salaries)
 - indirect Costs must be recovered except where specifically excluded by Funding Agency guidelines or where less than full recovery has been approved by the Deputy Vice-Chancellor (Research), and
 - where a researcher negotiates a price for a project in excess of the full cost, the additional funds will be allocated to the Research Project account.

Registration of research projects

- 4.9 Where an offer of Research Funds has been made a researcher is required to advise the Research Division so that a Research Agreement can be formed.
- 4.10 This advice shall be in writing, and shall include a completed Research Budget tool, a copy of the Research Project application or proposal, and a copy of any Offer of Research Funds provided by the Funding Agency.
- 4.11 Where an Offer of Research Funds is for an amount less than that budgeted in the application or proposal a revised Research Project Budget must be approved before the Offer of Research Funds can be accepted.
- 4.12 An offer of Research Funds will only be accepted where the Offer complies with the University's Principles Governing the Acceptance of Offers of Research Income.
- 4.13 The Research Division will liaise with internal authorities and the Funding Agency, as required, to prepare a binding Research Agreement.
- 4.14 A Research Project must not commence until a Research Agreement has been agreed between the parties.

Management of research projects

- 4.15 The first-named Investigator for a Research Project shall be designated as the Project Manager, and will be responsible for ensuring that all CQUniversity personnel associated with the Research Project comply with CQUniversity's obligations as contained in the Research Agreement.
- 4.16 At all times all CQUniversity personnel associated with a Research Project must comply with the CQUniversity Code of Conduct and the Code of Conduct for Research.

5 RESPONSIBILITIES

Compliance, monitoring and review

- 5.1 The Research Division manages the administration of Research Projects, although it remains the responsibility of Deans and Directors within Schools, Institutes and Centres to ensure that practices in Schools, Institutes and Centres remains at all times consistent with these Principles.
- 5.2 The Research Division will conduct periodic reviews to ensure compliance and relevance

Reporting

- 5.3 The Research Agreement will set out any reporting requirements for Research Projects.

Records management

- 5.4 Staff must maintain all records relevant to administering this policy and procedure in a recognised University recordkeeping system.

6 DEFINITIONS

- 6.1 Terms not defined in this document may be in the University [glossary](#).

Terms and definitions

Direct Costs: those expenses directly incurred in undertaking the Research Project. These Direct Costs include but are not limited to the salaries and on-costs of researchers involved in a research project; consumables such as equipment, chemicals, project-specific licenses or subscriptions; and travel to undertake the project or present conference papers on the research.

Funding Agency: any agency, person or organisation external to CQUniversity who provides funding to the University to undertake a Research Project. They include Australian Competitive Grant agencies, other public sector agencies (including commonwealth, state or local government departments or authorities), private industry organisations and community organisations.

Indirect Costs: those infrastructure and overheads incurred by the University in supporting Research Projects but cannot be directly attributed to individual research projects. They include but are not limited to the provision of research administration, the use of library facilities, insurance, legal support, research management and accounting costs, information technology and computing services, buildings, cleaning and maintenance of buildings in which research is conducted, refurbishments, and provision of gas, electricity and water (utilities). These are real costs to the University.

Research Funds: those funds provided to the University from a Funding Agency specifically to undertake a Research Project.

Research Project: a structured program of activity that meets the definition of research as defined in the annual Higher Education Research Data Collection Specifications and is registered by the University as a Research Project.

Research Agreement: a deed or contract agreed between the University and one or more Funding Agencies to undertake a Research Project.

7 RELATED LEGISLATION AND DOCUMENTS

Budget Charge Models

[Financial Accountability Act 2009](#)

[Financial and Performance Management Standard 2009](#)

[Financial Management Standard 1997](#)

Goods and Services Tax (as defined in the [A New Tax System \(Goods and Services Tax\) Act 1999 \(Cwlth\)](#))

[Higher Education Research Data Collection Specifications](#)

[Trade Practices Act 1974](#)

8 FEEDBACK

- 8.1 University staff and students may provide feedback about this document by emailing policy@cqu.edu.au.

9 APPROVAL AND REVIEW DETAILS

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Notes	