



## Research Management Policy

### 1. PURPOSE

To establish the framework under which the University encourages high quality research to be conducted in a responsible manner.

The University follows the [Australian Code for the Responsible Conduct of Research \(The Code\)](#), which will be read in conjunction with this policy.

### 2. POLICY STATEMENT

#### 2.1. Overview

2.1.1. Responsible research is encouraged and guided by the research culture of the organisation. A strong research culture will demonstrate:

- (a) honesty and integrity;
- (b) respect for human research participants, animals and the environment;
- (c) good stewardship of public resources used to conduct research;
- (d) appropriate acknowledgment of the role of others in research; and
- (e) responsible communication of research results.

2.1.2. Responsible research is demonstrated through the adoption of Curtin's Guiding Principles, Values and Signature Behaviours and the Curtin Code of Conduct.

2.1.3. Unless otherwise excused, all academic staff members will undertake research. The research will be of high quality and provide impact by furthering disciplinary knowledge or practice, contribute to the scholarship of learning and teaching, the professional interests of staff, community welfare, creative enterprises or the environment.

#### 2.2. Responsible conduct of research

2.2.1. The responsible conduct of research will be fostered throughout the University by:

- (a) promotion of awareness that researchers need to have knowledge of all guidelines and legislation relating to the conduct of their research;
- (f) provision of documents setting out clearly the policies and procedures based on The Code;
- (g) active encouragement of mutual cooperation with open exchange of ideas between peers, and respect for freedom of expression and inquiry; and
- (h) maintenance of a climate in which responsible and ethical behaviour in research is expected.

2.2.2. The University will maintain a research governance framework through which research is assessed for quality, safety, privacy, risk management, financial management and ethical acceptability.

- (a) The framework will specify the roles, responsibilities and accountabilities of all those who play a part in research.
- (i) The research governance framework will demand compliance with laws, regulations, guidelines and codes of practice governing the conduct of research in Australia. Common law obligations also arise from the relationships between institutions, researchers and research subjects, while contractual arrangements may impose further obligations.

2.2.3. The University will ensure the ready availability to researchers and research students of key documents on the responsible conduct of research, including The Code, University policies, procedures and guidelines on the conduct of research, requirements for research involving humans and animals, privacy and confidentiality, and the University's mechanisms for dispute resolution.

- 2.2.4. The University will ensure a safe working environment in which to conduct each research project. Researchers will adhere to the University's [Health and Safety Policy](#), and [Health and Safety Responsibilities Procedures](#) and act in accordance with all legislation regulating hazardous materials.
- 2.2.5. Researchers will foster and maintain a research environment of intellectual honesty and integrity, and scholarly and scientific rigour. Researchers will:
- (a) respect the truth and the rights of those affected by their research;
  - (b) manage conflicts of interest so that ambition and personal advantage do not compromise ethical or scholarly considerations;
  - (c) adopt methods appropriate for achieving the aims of each research proposal;
  - (d) cite awards and degrees conferred accurately;
  - (e) cite research publications accurately, including the status of any publication, such as under review or in press;
  - (f) promote adoption of The Code and avoid departures from the responsible conduct of research;
  - (g) conform to the policies adopted by the University and bodies funding the research.
- 2.2.6. Researchers are free to research subject matter of their choosing in accordance with the [Intellectual Freedom Policy](#).
- 2.2.7. Researchers are free to seek support for their work unless excluded under other policies (e.g., [Donations to Curtin Procedures](#)).
- 2.2.8. Researchers frequently have a conflict of interest that cannot be avoided. An individual researcher will therefore expect to be conflicted from time to time, and be ready to acknowledge the conflict and make disclosures as appropriate in accordance with the [Conflict of Interest Procedures](#).
- 2.2.9. The University will meet its continuing role in the management of research material and data in accordance with the [Research Data and Primary Materials Policy](#) and [Information Management Policy](#).
- 2.2.10. Researchers will ensure that research findings are disseminated responsibly in accordance with the [Authorship, Peer Review and Publication of Research Findings Policy](#) and [Authorship, Peer Review and Publication of Research Findings Procedure](#).
- 2.2.11. Staff have a responsibility to uphold the reputation of the University and will comply with the [Brand Communications Policy](#) in undertaking research.
- 2.2.12. Intellectual property will be managed in accordance with the [Intellectual Property – Ownership and Commercialisation Policy and Procedures](#).
- 2.2.13. Failure to comply with The Code, University policies, procedures and guidelines on the conduct of research, requirements for research involving humans and animals, privacy and confidentiality, and the laws, regulations, guidelines and codes of practice governing the conduct of research in Australia may be considered research misconduct.
- 2.2.14. A researcher who considers that research misconduct may have occurred will act in a timely manner in accordance with the [Responsible Conduct of Research Policy](#).
- 2.2.15. Complaints of research misconduct will be received and managed in accordance with the [Complaints Policy](#) and the [Responsible Conduct of Research Policy](#).
- 2.2.16. The University will maintain a process for regular monitoring of the University's performance with regard to The Code.

### **2.3. Research integrity**

- 2.3.1. Researchers will comply with ethical principles of integrity, respect for persons, justice and beneficence.

- 2.3.2. Written approval from appropriate ethics committees, safety and other regulatory bodies will be obtained when required.
- 2.3.3. It is acknowledged that research with Aboriginal and Torres Strait Islander peoples spans many methodologies and disciplines. There are wide variations in the ways in which Aboriginal and Torres Strait Islander individuals, communities or groups are involved in, or affected by, research. This Policy and The Code will be read in conjunction with [Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research](#) and the [Guidelines for Ethical Research in Australian Indigenous Studies](#).
- 2.3.4. Researchers will protect human participants in research in accordance with [The National Statement on Ethical Conduct in Human Research](#) and follow the University's processes for human research ethics approval.
- 2.3.5. Research which involves working with children under the age of 18 and falls into one of the specified categories requires a [Working with Children Check](#) as outlined in the [Working with Children Check Procedures](#).
- 2.3.6. Researchers will respect the animals they use in research, in accordance with the [Australian Code of Practice for the Care and Use of Animals for Scientific Purposes](#) and the [Animal Welfare Act 2002](#). Researchers will follow the University's processes for animal research ethics approval.
- 2.3.7. Researchers must conduct their research so as to minimise adverse effects on the wider community and the environment.
- 2.3.8. Appropriate consumer involvement in research is encouraged and facilitated by the University and be undertaken in accordance with the [Statement on Consumer and Community Participation in Health and Medical Research](#).

#### **2.4. Collaborative research**

- 2.4.1. Research can involve a wide range of collaborations within institutions, between institutions, and internationally. Research practices differ between countries, but researchers will comply with The Code and University policies even when conducting research outside Australia.
- 2.4.2. Collaborative research projects with other organisations, subject to external funding, require arrangements to be agreed before a project begins. The agreement will be in writing and follow the general principles of The Code, including integrity, honesty and a commitment to excellence. These arrangements will cover financial management, intellectual property, sharing financial returns, confidentiality, authorship and publication, consultancies, secondments, ethics approval, and ownership of equipment and data, indemnity arrangements, insurance obligations and reporting to relevant agencies as applicable. It will address the protocols to be followed by the partners when disseminating the research outcomes, and the management of primary research materials and research data. The collaborating parties will each identify a person to be involved in the management of research data, primary materials and other items to be retained at the end of the project.
- 2.4.3. Researchers involved in joint research will be aware of, and comply with, all policies and written agreements affecting the project, particularly the [Conflict of Interest Procedures](#), [Research Data and Primary Materials Policy](#), [Authorship, Peer Review and Publication of Research Findings Policy](#), [Authorship, Peer Review and Publication of Research Findings Procedure](#) and [Intellectual Property – Ownership and Commercialisation Policy and Procedures](#).
- 2.4.4. The establishment, operation and closure of Research Institutes, Centres and Clusters are governed by the [Research Institutes, Centres and Clusters Procedures](#).
- 2.4.5. The establishment, operation and closure of External Collaborative Research Centres are governed by the [External Collaborative Research Centres Procedures](#).

#### **2.5. Research training and professional development**

##### Researchers

- 2.5.1. The University will provide induction, training, professional development and continuing education for all research staff. Professional development will cover research methods, ethics, confidentiality, occupational health and safety, environmental protection, data storage and records retention, as well as regulation and governance. Professional development will also cover the University's policies regarding responsible research conduct, and all aspects of The Code.
- 2.5.2. The University will promote effective mentoring and supervision of researchers. This includes advising on research ethics, research design and methods, and the responsible conduct of research.

Students undertaking research

- 2.5.3. The University will provide induction and training for all students, including undergraduate and postgraduate students, undertaking research including research methods, ethics, confidentiality, occupational health and safety, environmental protection, data storage and records retention, as well as regulation and governance. Training will also cover the University's policies regarding responsible research conduct, and all aspects of The Code.
- 2.5.4. The University will ensure that each Higher Degree by Research Students has an appropriately qualified and trained supervisory team in accordance with the [Supervision of Higher Degree by Research \(HDR\) Students Policy](#).
- 2.5.5. A research student will demonstrate a professional attitude towards the research.
- 2.5.6. A research student will complete all induction and training courses as soon as practical after enrolment.

**2.6. Research operations**

- 2.6.1. All research applications, proposals, and tenders will be submitted to the Director, Research and Development.
- 2.6.2. All externally funded research activity will be fully costed and those costs, or a proportion thereof, recovered from the funding agency.
- 2.6.3. The Office of Research and Development will develop and maintain a research costing model to determine the full cost of research projects to the University. The [Research Costing and Pricing Tool](#) will be used for all University research.
- 2.6.4. Research projects will be registered in the [research information management system](#).
- 2.6.5. A risk assessment on research projects will be completed in accordance with the [Fieldwork Education Policy and Procedures](#) and relevant risk treatments followed.
- 2.6.6. Approval of research grants, fellowships, projects and research contracts will be in accordance with the [Delegations Register](#).

**3. RESPONSIBILITY FOR IMPLEMENTATION, COMPLIANCE MONITORING, MEASURING AND CONTINUAL IMPROVEMENT**

These management positions are responsible for implementation and compliance monitoring of the policy in their work areas:

- 3.1 Deputy Vice-Chancellor, Research is responsible for:
  - (a) Providing resources for implementation and oversight of the Research Management Policy;
  - (b) Ensuring the Research Management Policy addresses relevant statutory requirements;
  - (c) Ensuring University compliance with statutory requirements.
- 3.2 Pro Vice-Chancellors are responsible for ensuring management of research compliance with the Research Management Policy.
- 3.3 Deans – Research are responsible for monitoring of faculty research performance and alignment with the Research Management Policy.

- 3.4 Heads of School/Department/Area are responsible for monitoring research activity in the Schools and providing advice to staff regarding research.
- 3.5 Directors of Research Institutes and Centres are responsible for leading and monitoring research activity in the Institute/Centre and providing advice to staff regarding research.
- 3.6 Researchers are responsible for conducting their research in accordance with The Code and the University research policies.
- 3.7 Students undertaking research are responsible, under supervision, for conducting their research in accordance with The Code and the University research policies.

#### 4. SCOPE OF POLICY

This policy applies to all staff and research students.

#### 5. DEFINITIONS

(Note: Commonly defined terms are located in the [Curtin Common Definitions](#). Any defined terms below are specific to this document)

##### **Research**

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 (The Australian Research Council, Excellence in Research for Australia, 2014).

Research includes teachers engaging in scholarship in teaching and learning through research and development in teaching, learning and the broader educational context which advances and publicly provides educational benefit to students, staff and the higher education sector.

Research excludes consultancy as defined by the [Consultancy Procedures](#).

##### **University policies, procedures and guidelines on the conduct of research**

The relevant research policies, which link to appropriate procedures and guidelines, include:

- [Research Management Policy](#);
- [Research Data and Primary Materials Policy](#);
- [Authorship, Peer Review and Publication of Research Findings Policy](#);
- [Responsible Conduct of Research Policy](#);

#### 6. SUPPORTING PROCEDURES

[Authorship, Peer Review and Publication of Research Findings Procedure](#)

[Complaints Procedures](#)

[Conflict of Interest Procedures](#)

[Consultancy Procedures](#)

[Donations to Curtin Procedures](#)

[External Collaborative Research Centres Procedures](#)

[Fieldwork Policy](#)

[Fieldwork Procedures](#)

[Health and Safety Responsibilities Procedures](#)

[Intellectual Property – Ownership and Commercialisation Policy and Procedures](#)

[Register of Supervisors of Higher Degree by Research Students Policy and Procedures](#).

[Research Institutes, Centres and Clusters Procedures](#)

[Working with Children Check Procedures](#)

#### 7. RELATED DOCUMENTS/LINKS

##### **Internal**

[Health and Safety Policy](#)

[Intellectual Freedom Policy](#)

[Research Data and Primary Materials Policy](#)

[Information Management Policy](#)

[Authorship, Peer Review and Publication of Research Findings Policy](#)

[Brand Communications Policy](#)

[Responsible Conduct of Research Policy](#)

[Research Costing and Pricing Tool](#)

[Delegations Register](#)

[Research Enabling Plan](#)

[Planning Policy](#)

[Curtin University Code of Conduct](#)

## External

[Animal Welfare Act 2002](#)

[Australian Code of Practice for the Care and Use of Animals for Scientific Purposes](#)

[Australian Code for the Responsible Conduct of Research](#)

[Guidelines for Ethical Research in Australian Indigenous Studies](#)

[Statement on Consumer and Community Participation in Health and Medical Research](#)

[The National Statement on Ethical Conduct in Human Research](#)

[Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research](#)

[Working with Children Check](#)

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## REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	04/03/2005	Academic Board	AB 37/05	Attachment 1 to Document No 00165/05
	Amended	09/05/2007	Council	C 58/07	Document No 00390/07
	Administratively Updated	20/03/2008	Director, Legal and Compliance Services		Reformatted and Amended to Reflect Organisational Chart
	Administratively Updated	02/06/2011	Director, Legal and Compliance Services		Attachment and Links Updated
	Amended	31/10/2014	Academic Board	AB 147/14	
	Amended	28/08/2015	Academic Board	AB 135/15	Attachment E to Item 14.3
	Administratively Updated	06/10/2015	Director, Legal and Compliance Services	EC 76/15	Executive Manager Title Changes
	Administratively Updated	20/06/2017	Director, Legal and Compliance Services		Updated Links for Intellectual Freedom Policy