

Research Management Policy

1. STRATEGIC PLAN THEME AND COMPLIANCE OBLIGATION SUPPORTED

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

Strategic Plan Theme: [Research and Innovation](#)

2. PURPOSE

To establish the framework under which the University manages research activities.

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

3. POLICY STATEMENT

3.1. Research Compliance

- 3.1.1. The University will maintain a research governance framework through which research activities are assessed for quality, safety, privacy, risk management, financial management and ethical acceptability.
- 3.1.2. The University will ensure that The Code, University policies and procedures requirements for research involving humans and animals, privacy and confidentiality, and the University's Complaints Procedure are made available to all staff and students in order to facilitate research activity compliance.
- 3.1.3. Researchers will conduct research in 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.
- 3.1.4. If undertaking research at a Curtin global campus, or research in another non-Australian location, researchers will also comply with that country's research code. Where there is a difference in standards, researchers will comply with the higher standard.
- 3.1.5. Where activities involve research with or about humans, samples from humans, or data about humans, researchers will obtain human research ethics approval from Curtin University before research commences. Where research is conducted using collections of data about humans or collected from humans, ethics approval will be obtained to use these data.
- 3.1.6. Where activities involve animals, researchers will obtain animal ethics approval from Curtin University before research commences.
- 3.1.7. If ethics approval has already been obtained from another institution, ethics approval must also be obtained from Curtin University.

3.2. Research with Aboriginal and Torres Strait Islander peoples or collections

- 3.2.1. Curtin University acknowledges that research with Aboriginal and Torres Strait Islander peoples or collections 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.
- 3.2.2. Research that involves Aboriginal and Torres Strait Islander peoples or collections should have best practice ethical standards and consider human rights principles. This Policy will be read in conjunction with [AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research](#), [Ethical Conduct in Research with Aboriginal and Torres Strait Islander Peoples and Communities: Guidelines for researchers and stakeholders](#), and [Keeping Research on Track II](#).

3.3. Collaborative research

- 3.3.1. Collaborative research, whether formal or informal, can take various forms and include research partners in industry, the government and not-for-profit sectors, and researchers from multiple countries.
- 3.3.2. Research practices may differ between countries, but researchers will comply with The Code and University policies even when conducting research outside Australia.
- 3.3.3. Collaborative research projects with other organisations that are subject to external funding, require arrangements to be agreed before a project begins. The agreement will be in writing and will take into account applicable laws, policies and regulations, national and/or international and will require that researchers and participating institutions in receipt of Australian public funding comply with The Code.
- 3.3.4. All researchers involved in collaborative research must be aware of, understand, and comply with all policies and written agreements affecting the project, particularly those relating to intellectual property, the publication and dissemination of research and the management of research data and primary materials.
- 3.3.5. Researchers will not undertake research with collaborator/s that pose a foreign influence or foreign interference risk.
- 3.3.6. The establishment, operation and closure of Research Institutes, Centres and Clusters are governed by the [Research Institutes, Centres and Clusters Procedures](#).
- 3.3.7. The establishment, operation and closure of External Collaborative Research Centres are governed by the [External Collaborative Research Centres Procedures](#).

3.4. Research Integrity training

- 3.4.1. The University will provide induction, training, professional development and continuing education for all researchers.
- 3.4.2. Staff and Higher Degree by Research students undertaking research will complete the Research Integrity provided by the University within six months of appointment for staff or prior to completion of milestone 1 for Higher Degree by Research students.

3.5. Research operations

- 3.5.1. All research agreements, applications, proposals, tenders and other research contracts will be submitted to the Director, Research Services and Systems prior to submission.
- 3.5.2. All informal research activities are to be carried out under the [Governing Informal Research Activities framework](#).
- 3.5.3. The Research Office at Curtin will develop and maintain a research costing model to determine all direct and indirect costs of research projects.
- 3.5.4. The University and researchers will seek to price projects so as to recover, as a minimum, all direct costs and indirect costs from project funds where permitted by the funding body.
- 3.5.5. Research funding will only be accepted where it is consistent with the University values, where the research is of public interest and the funding is not precluded under the Donations to Curtin Procedures.
- 3.5.6. Approval of research grants, fellowships, projects and research contracts will be in accordance with the [Delegations Register](#).

4. SCOPE OF POLICY

This policy applies to all staff, adjuncts, associates and students in any location or campus, whether in or outside of Australia.

5. DEFINITIONS

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

Direct Cost

A price that can be completely attributed to the production of a specific good or service.

Indirect Cost

Institutional overhead costs that benefit and support the research activity.

Foreign influence

All governments, including Australia's, try to influence deliberations on issues of importance to them. These activities, when conducted in an open and transparent manner, are a normal aspect of international relations and diplomacy and can contribute positively to public debate.

Foreign interference

Foreign interference occurs when activities are carried out by, or on behalf of a foreign actor, which are coercive, covert, deceptive or corrupting and are contrary to Australia's sovereignty, values and national interests.

Research

Research is the creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture, society, animals and the environment – and to devise new applications of available knowledge. (adapted from Higher Education Research Data Collection, 2020). Research also includes the scholarship of learning and teaching. Research excludes consultancy as defined by the [Consultancy Procedures](#).

Informal research

Informal research activities are those that are not undertaken under the support of a Contract, Grant Agreement, Memorandum of Understanding or Letter of Agreement.

The Code

The Code refers to the Australian Code for the Responsible Conduct of Research and all associated Guides.

6. SUPPORTING PROCEDURES

[Academic Freedom and Freedom of Speech Policy](#) *

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

[Authorship, Peer Review and Publication of Research Outputs Procedures](#) *

[Complaints Procedures](#) *

[Conflict of Interest Procedures](#)

[Consultancy Procedures](#)

[Contracts and Agreements Registration Procedures](#)

[Delegations Policy](#)

[Donations to Curtin Procedures](#)

[External Collaborative Research Centres Procedures](#) *

[Fieldwork Policy](#) *

[Fieldwork Procedures](#) *

[Health and Safety Policy \(guidelines\)](#)

[Health and Safety Responsibilities Procedures](#)

[Intellectual Property Policy](#) *

[Intellectual Property Procedures](#) *

[Records and Information Management Procedures *](#)
[Research Data and Primary Materials Policy *](#)
[Research Institutes, Centres and Clusters Procedures *](#)
[Responsible Conduct of Research Policy *](#)
[Responsible Conduct of Research \(staff\) Procedures *](#)
[Risk Management Policy](#)
[Risk Management Procedures](#)
[Working with Children Check Procedures](#)

* Denotes policies and procedures that apply to Curtin global campuses

7. RELATED DOCUMENTS/LINKS

Internal

[Health and Safety Policy](#)
[Academic Freedom and Freedom of Speech Policy](#)
[Research Data and Primary Materials Policy](#)
[Information Management Policy](#)
[Authorship, Peer Review and Publication of Research Outputs Policy](#)
[Brand Communications Policy](#)
[Responsible Conduct of Research Policy](#)
[Supervision of Higher Degree by Research \(HDR\) Policy](#)
[Research Costing and Pricing](#)
[Delegations Register](#)
[Research Enabling Plan](#)
[Planning Policy](#)
[Curtin University Code of Conduct](#)

External

[AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research](#)
[Ethical Conduct in Research with Aboriginal and Torres Strait Islander Peoples and Communities: Guidelines for researchers and stakeholders](#)
[Keeping Research on Track II](#)
[Australian Code for the Responsible Conduct of Research \(2018\)](#)
[National Statement on Ethical Conduct in Human Research \(2007\) - Updated 2018](#)
[Australian code for the care and use of animals for scientific purposes 8th edition 2013](#)

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Policy Manager	Deputy Vice-Chancellor, Research
Approval Authority	Academic Board
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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
	Approved	06/12/2019	Academic Board	AB 237/19	Attachment A to Item 14.3
	Approved	4/12/2020	Academic Board	AB 218/20	Attachment C to Item 14.2, effective 1 January 2021