



## Research Management Policy

### 1. COMPLIANCE OBLIGATION SUPPORTED

[Australian Code for the Responsible Conduct of Research](#)  
[Curtin University Enterprise Bargaining Agreement 2022-2025](#)

### 2. PURPOSE

The policy establishes the University's overarching framework under which the University manages research activities, for ensuring that research is consistent with the University's legal and regulatory obligations, and that research is conducted responsibly, ethically and with integrity. It also describes the principles for the responsible conduct of research, and the consequences of failing to follow those principles.

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

### 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 Research Office at Curtin will ensure that the principles of academic freedom and freedom of speech are upheld in all research activities, in accordance with the [Academic Freedom and Freedom of Speech Policy](#).
- 3.1.3. 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 Procedures](#) are made available to all employees and students in order to facilitate research activity compliance.
- 3.1.4. 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.
- 3.1.5. Researchers undertaking research at a Curtin global campus, or in any non-Australian location, will also comply with the research code of the relevant country/location. Where there is a difference in standards, researchers will comply with the higher standard.
- 3.1.6. Where activities involve research with or about humans, samples from humans, or data about humans, researchers will obtain human research ethics approval from the University before research commences. Where research is conducted using collections of data about humans or collected from humans, ethics approval (or confirmation of exemption) will be obtained to use these data.
- 3.1.7. Where activities involve animals, researchers will obtain animal ethics approval from the University before research commences.
- 3.1.8. Where ethics approval has already been obtained from another institution, ethics approval will also be obtained from the University.
- 3.1.9. Researchers must give appropriate consideration to health, safety and wellness for all research activities. Researchers must also follow health and safety policy and procedure when closing out their research, including the management of hazardous materials.

- 3.1.10. In accordance with the Artificial Intelligence (AI) Policy, the University has adopted AI Guidance Principles to guide (as relevant) the procurement, development, deployment, use, management and improvement of AI systems for teaching, learning, research and operations at the University.

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

- 3.2.1. The 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](#), [Keeping Research on Track II](#) and the UN Declaration of Rights of Indigenous Peoples. The University expects that appropriate recognition, protection and respect is given to Aboriginal and Torres Strait Islander peoples and their culture.

### **3.3. Authorship and Peer Review**

- 3.3.1. An employee may speak, write, and publish, or artistically perform, create and exhibit, without being subject to institutional censorship or discipline in accordance with the [Academic Freedom and Freedom of Speech Policy](#).
- 3.3.2. To be named as an author, a researcher will have:
- a) made a Significant Intellectual Contribution or scholarly contribution to the work and be able to take responsibility for at least that part of the work they contributed; and
  - b) agree to be an author.
- 3.3.3. Attribution of authorship is dependent on the discipline of research and the type of research output. Procedures for authorship eligibility are outlined in the [Authorship, Peer Review and Publication of Research Outputs Procedures](#).
- 3.3.4. Authorship will also be determined in a manner that is consistent with legal rights and obligations under intellectual property law, including Indigenous cultural and intellectual property, and the University's Intellectual Property Policy.
- 3.3.5. Researchers will recognise and credit the contributions of Aboriginal and Torres Strait Islander peoples where appropriate. For broader guidance on ethical engagement see Section 3.2.
- 3.3.6. Researchers intending to publish Indigenous knowledge obtained through sources including unpublished manuscripts, or audio or video recordings, will seek approval from the Indigenous people involved in the project or the community from which that knowledge originates, and the individual and collective contributors of the knowledge will be acknowledged, as appropriate.
- 3.3.7. Each author is responsible for the accuracy, validity, originality, and integrity of the research that they contributed to the published work.
- 3.3.8. Participation in peer review processes will be encouraged and supported to promote research integrity.

### **3.4. FAIR and open access to knowledge**

- 3.4.1. Curtin is committed to the Policy Statement on F.A.I.R. access to Australia's Research Outputs and the CAUL Statement on Open Scholarship.

- 3.4.2. Researchers will adhere to established national and international standards for data description and structuring to facilitate tracking of references. These standards include using Digital Object Identifiers for datasets, ORCID IDs for researchers, and standard terminology for scientific concepts.
- 3.4.3. Curtin requires that the following research outputs will be made openly available after publication, subject to publisher permissions, via Curtin's institutional repository as soon as possible; or via peer reviewed open access journal publications, conference proceedings, book or book chapters, and other outlets where appropriate:
- refereed journal articles
  - refereed conference papers; and
  - digital theses submitted via the Graduate Research School.
- 3.4.4. Curtin encourages all other research outputs be made openly available after publication, subject to publisher permissions, via Curtin's institutional repository as soon as possible; or via other outlets where appropriate.

### **3.5. Intellectual property**

- 3.5.1. University Intellectual Property will be governed in accordance with the [Intellectual Property Policy](#) and [Intellectual Property Procedures](#).

### **3.6. Collaborative research**

- 3.6.1. 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.
- 3.6.2. 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, and will require that researchers and participating institutions in receipt of Australian public funding comply with The Code.
- 3.6.3. 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.
- 3.6.4. Researchers will not conduct research or collaborate with entities that pose a foreign risk if they do not follow the approval process for the relevant class of foreign risk.
- 3.6.5. The establishment, operation and closure of Research Institutes, Centres and Clusters are governed by the [Research Institutes, Centres and Clusters Procedures](#).
- 3.6.6. The establishment, operation and closure of External Collaborative Research Centres are governed by the [External Collaborative Research Centres Procedures](#).

### **3.7. Governance of research institutes, centres and clusters**

- 3.7.1. The University establishes and maintains Research Institutes, Centres and Clusters to build and sustain research excellence, foster cross-disciplinary collaboration, and deliver positive impact to society through world-class research. These entities provide a structured environment to support research of national and global significance, aligned with the strategic research directions of the University and its Faculties.
- 3.7.2. Research Institutes and Research Centres are integral to the University's academic framework. Institutes are generally embedded within Faculties and Centres within Schools, with affiliated academics and professional employees contributing to both research and learning and teaching activities. All Research Institutes and Centres form

part of the University's legal entity and are distinct from Cooperative Research Centres, ARC Centres of Excellence, and other externally governed research collaborations.

- 3.7.3. The formation and continuation of Research Institutes and Centres is underpinned by a commitment to:
  - a) conducting world-standard, cross-disciplinary research;
  - b) generating value and impact through research outputs and translation;
  - c) building research capability, including supervision of Higher Degree by Research students and the development of early and mid-career researchers; and
  - d) maintaining a sustainable critical mass of researchers and academic activity.
- 3.7.4. Entities may evolve over time, with Research Clusters serving as developmental groupings that may progress to Centre or Institute status. Differentiation between Clusters, Centres and Institutes is based on relative scale, cross-disciplinary reach, and their positioning within the University's organisational structure.
- 3.7.5. The use of the titles 'University Research Institute' and 'University Research Centre' is restricted to registered entities approved under University processes. Research Institutes and Centres must operate in alignment with the University's Brand Communications Policy and other relevant University policies.
- 3.7.6. The detailed processes for the establishment, operation and closure of Research Institutes, Centres and Clusters are outlined in the [Research Institutes, Centres and Clusters Procedures](#).

### **3.8. Research Conduct**

- 3.8.1. Researchers will comply with the research standards as set out by The Code and will conduct research in accordance with the Code and related University policies and procedures.
- 3.8.2. The Code sets out research standards through the principles of responsible research conduct and the responsibilities of the University and researchers. Where the researcher is a student at this university [Statute No. 10 – Student Discipline](#) and the associated rules also apply.
- 3.8.3. Potential breaches of The Code will be reported and dealt with in accordance with the [Responsible Conduct of Research \(Employees\) Procedures](#) for employees [and Statute No. 10 – Student Discipline](#) for students.
- 3.8.4. Breaches of The Code may be considered misconduct or serious misconduct for employees as described in the University Enterprise Bargaining Agreement 2022-2025, or misconduct for students as described in [Statute No. 10 – Student Discipline](#) for students.

### **3.9. Research Integrity training**

- 3.9.1. The University will provide induction, training, professional development and continuing education for all researchers.
- 3.9.2. Employees and Higher Degree by Research (HDR) students undertaking research will complete the Research Integrity Training provided by the University. Employees are required to complete this training within six months of their appointment. HDR students will complete the training before reaching milestone 1.

### **3.10. Research operations**

- 3.10.1. All research agreements, applications, proposals, tenders and other research contracts will be submitted to the Director, Research Services and Systems prior to submission.

- 3.10.2. All informal research activities are to be carried out under the [Governing Informal Research Activities framework](#).
- 3.10.3. The Research Office at Curtin will develop and maintain a research costing model to determine all direct and indirect costs of research projects. This model will include a commitment to the Principle of Competitive Neutrality except where there are strategic, competitive or other community benefit grounds for not doing so.
- 3.10.4. Where permitted by the funding body, the University and its researchers will set project budgets that, at a minimum, recover both direct and indirect costs from project funds.
- 3.10.5. 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 Policy](#).
- 3.10.6. 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 employees, adjuncts, University 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)*

##### **Breach of The Code**

Is a failure to meet the principles and responsibilities of The Code or associated Guides and may refer to a single breach or multiple breaches (as defined per The Australian Code for the Responsible Conduct of Research).

##### **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 Interference**

As defined by the [Foreign Risk Policy](#).

##### **Foreign Risk**

As defined by the [Foreign Risk Policy](#).

##### **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.

##### **Open access**

Materials published in open access journals or digital research repositories can be accessed without barriers by anyone via the Internet. The term open access describes the nature of access, rather than a specific business model, licence or type of content. Within scholarly publishing, open access refers to material that is:

- Online and digital
- Without cost to access
- Peer reviewed research
- Compliant with copyright legislation
- Free of access barriers created by financial, legal or technical issues.

##### **Peer review**

The impartial and independent assessment of research by others working in the same or a related field. Peer review has a number of important roles in research and research management, in the

assessment of grant applications, in selecting material for publication, in the review of performance of researchers and teams, and in the selection of staff. Peer review provides expert scrutiny of a project, and helps to maintain high standards and encourage accurate, thorough and credible research reporting.

### **Principle of Competitive Neutrality**

The principle of competitive neutrality requires the University to charge market-competitive prices for all services conducted as commercial activities, rather than a reduced price based on cost advantages that the University has as a large institution that receives public funding. These cost advantages include its tax-exempt status and shared infrastructure and resources that often subsidise indirect costs of a particular activity. It reflects the principle that publicly owned, and privately owned businesses should compete on equal terms, and that major government enterprises should not enjoy any net competitive advantages simply as a result of their public ownership.

### **Publication of research outputs**

All forms of dissemination including academic journals and books, non-refereed publications including webpages, and other media such as exhibitions and films, and discipline-based professional and institutional repositories.

### **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](#).

### **Research output**

Refers to peer reviewed works such as books, book chapters, journal articles and conference papers; non-traditional research outputs including creative research outputs such as original creative works, live performance of creative works, recorded/rendered creative works and curated or produced public exhibitions and events; and scholarly outputs which are not peer reviewed, such as technical or working papers, scholarly book reviews or legal submissions. In the context of authorship research outputs also refer to other documents related to research such as research proposals, grant applications, reports to funding agencies, tenders, patents and patent applications. It also includes web-based publications and applications including professional blogs and any form of authored research that is made publicly available.

### **Significant Intellectual Contribution or Scholarly Contribution**

Significant intellectual contributions or scholarly contributions are a combination of at least two of the following:

- conception and design of the project or output;
- acquisition of research data where the acquisition has required significant intellectual judgement, planning, design or input
- contribution of knowledge, where justified, including Indigenous knowledge
- analysis and interpretation of research data; and
- drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

## **6. SUPPORTING PROCEDURES**

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

[External Collaborative Research Centres Procedures](#)

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

[Responsible Conduct of Research \(Employees\) Procedures](#)

## 7. RELATED DOCUMENTS/LINKS

### Internal

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

[Artificial Intelligence \(AI\) Policy](#)

[Complaints Procedures](#)

[Consultancy Procedures](#)

[Contracts Registration Procedures](#)

[Curtin University Code of Conduct](#)

[Curtin University Values](#)

[Delegations Register](#)

[Delegations Policy](#)

[Disclosure of Relationships and Interests Procedures](#)

[Donations to Curtin Policy](#)

[Fieldwork \(Work Integrated Learning\) Policy & Procedures](#)

[Foreign Risk Policy](#)

[Health and Safety Policy](#)

[Higher Degree by Research \(HDR\) Supervision Policy & Procedures](#)

[Information Management Policy & Procedures](#)

[Intellectual Property Policy & Procedures](#)

[Research Data and Primary Materials Policy](#)

[Research Costing and Pricing](#)

[Research Enabling Plan](#)

[Risk Management Policy and Procedures](#)

[Working with Children Check Procedures](#)

### External

[Australian code for the care and use of animals for scientific purposes 8th edition 2013 \(updated 2021\)](#)

[Australian Research Council Open Access Policy](#)

[AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research](#)

[CAUL Statement on Open Scholarship](#)

[Committee on Publication Ethics \(COPE\) Ethical Conduct in Research with Aboriginal and Torres Strait Islander Peoples and Communities: Guidelines for researchers and stakeholders](#)

[FAIR Data Principles](#)

[Higher Education Standards Framework \(HESF\): Standards 4.1.1, 4.1.2, 5.2.1, 6.2.1](#)

[Keeping Research on Track II](#)

[Australian Code for the Responsible Conduct of Research \(2018\)](#)

[NHMRC and MRFF Open Science Policy](#)

[National Health and Medical Research Council Research Quality Strategy](#)

[National Statement on Ethical Conduct in Human Research 2023 | NHMRC](#)

[Policy Statement on F.A.I.R. Access to Australia's Research Outputs](#)

[Recommendations for the Conduct, Reporting, Editing and Publication of Scholarly Work in Medical Journals \(Vancouver Protocol\)](#)

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

[UN Declaration of Rights of Indigenous Peoples](#)

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<b>Approval Authority</b>	Academic Board
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**REVISION HISTORY** (*filled out by Risk, Compliance and Audit*)

<b>Version</b>	<b>Approved/ Amended/ Rescinded</b>	<b>Date</b>	<b>Committee / Board / Executive Manager</b>	<b>Approval / Resolution Number</b>	<b>Key Changes and Notes</b>
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
	Approved	29/05/2026	Academic Board	AB 56/2026	Attachment A to Item 7.3