

# Research Policy

## Section 1 - Purpose

(1) This policy sets out Charles Sturt University's commitment to:

- a. deliver research excellence;
- b. further the public good and enhance our reputation; and
- c. meet the highest standards of research integrity and ethical compliance.

(2) This policy is intended to ensure that:

- a. research activities conducted by Charles Sturt University (the University) comply with all standards, legislation, regulations and funding requirements for research, including but not limited to the following:
  - i. [Higher Education Standards Framework](#), particularly sections 4.1 Research and 4.2 Research Training
  - ii. [Australian Code for the Responsible Conduct of Research, 2018](#)
  - iii. [National Statement on Ethical Conduct in Human Research](#)
  - iv. [Guidelines for Ethical Research in Australian Indigenous Studies 2012](#)
  - v. [Statement on Consumer and Community Participation in Health and Medical Research 2016](#)
  - vi. [Australian Code for the Care and Use of Animals for Scientific Purposes 2013](#)
  - vii. [Copyright Act 1968](#)
  - viii. [Defence Trade Controls Act 2012](#)
  - ix. [Foreign Influence Transparency Scheme Act 2018](#)
  - x. [Gene Technology Act 2000](#)
  - xi. [Radiation Control Act 1990](#)
  - xii. [Radiation Control Amendment Act 2010](#)
  - xiii. [Radiation Control Regulation 2013](#)
- b. research in areas of known ethical complexity with respect to human and animal participation is considered, approved and managed appropriately;
- c. research involving dangerous materials is considered, approved, and managed appropriately;
- d. credit for authorship and contributions to research are fairly and accurately stated; and
- e. data gathered in research is well managed across the research lifecycle so that it is preserved and accessible in accordance with legislation and agreements.

### Scope

(3) This policy applies to anyone who conducts, supervises or supports research as a member of the University community or on behalf of the University, including:

- a. staff, adjunct staff, students or visitors to the University;
- b. consultants, contractors; and
- c. staff and students of partner organisations.

(4) Students enrolled in higher degree by research courses should also refer to the [Higher Degree by Research Policy](#).

## References

(5) Where supporting documents are referenced in this policy, they will be listed in the associated information tab.

## Section 2 - Glossary

(6) For the purpose of this policy, the following terms have the definition stated:

- a. Code - means the [Australian Code for the Responsible Conduct of Research, 2018](#).
- b. Coursework course - means a course leading to a qualification at Australian Qualifications Framework level 8 or below, or a masters course with no research component or with a research component weighted at less than 66% of the total credit points required to complete the course. Coursework courses lead to the award of an undergraduate certificate, undergraduate diploma, associate degree, bachelor degree, bachelor (honours) degree, graduate certificate, graduate diploma, or a master by coursework as defined in the previous sentence.
- c. Defence and Strategic Goods List - means the document published, in accordance with the Customs Act 1901, that specifies the goods, software or technology that are regulated by the [Defence Trade Controls Act 2012](#).
- d. Higher degree by research (HDR) course - means a course leading to a qualification at Australian Qualifications Framework level 9 or level 10 in which a research component makes up 66% or more of the course volume of learning. Higher degree by research courses lead to the award of a master by research, professional doctorate or doctor of philosophy.
- e. Research - as defined by the Australian Research Council, means 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.
- f. Research data - means data collected, generated or used in research, including facts, observations, computer program results, statistical analyses, measurements or experiences on which an argument, theory, test or hypothesis, or another research output is based. Data may be numerical, textual, descriptive, visual or tactile; raw or processed, and may be held in any format or medium.
- g. Research integrity advisor - means a person or persons with knowledge of the code and institutional processes appointed by the Deputy Vice-Chancellor (Research) to promote the responsible conduct of research and provide advice to those with concerns or complaints about potential breaches of the code.
- h. Research output - means the work that is published, exhibited, broadcast or presented to disseminate findings from research. These may be in the form of journal articles, books, book chapters, conference papers, research reports, web-based publications, multi-media work, works of art, performances, compositions, software or research data.
- i. Researcher - means any person within the scope of this policy who plans, proposes, leads, conducts, supports or prepares outputs of research.

## Section 3 - Policy

### Part A - Research governance

(7) Academic Senate is responsible for the governance of research and research training.

(8) The University Research Committee is the subcommittee of Academic Senate that oversees the research functions of the University and provides advice on all matters relating to research performance, research integrity and academic governance of research training activities.

(9) The Deputy Vice-Chancellor (Research) has established ethics and safety committees to oversee compliance and training requirements. These committees include the:

- a. Defence Trade Controls Committee;
- b. Human Research Ethics Committee;
- c. Animal Care and Ethics Committee;
- d. Institutional Biosafety Committee;
- e. Chemical Safety Committee; and
- f. Radiation Safety Committee.

(10) The research and teaching activities that require approval from the ethics and safety committees are described in 'Part C - Research compliance, ethics and safety' in this policy, the [Research Integrity, Ethics and Compliance website](#) and the committee's memberships and terms of reference.

(11) [Delegation Schedule E - Academic and Research](#) lists the authorities conferred by the University Council regarding research approvals.

## **Part B - Research conduct and misconduct**

(12) The University has adopted as its code for conduct of research the [Australian Code for the Responsible Conduct of Research, 2018](#) (the Code).

(13) All researchers are responsible for ensuring that research meets the standards defined by the Code. This includes those who lead research and/or supervise research projects of students in coursework or higher degree by research courses.

(14) Research supervisors are responsible for:

- a. modelling of behaviour; and
- b. guiding and supporting student development as responsible and ethical researchers.

(15) All staff have a responsibility to maintain a positive research culture. The following staff are expected to show leadership in establishing and maintaining high standards for the conduct of research:

- a. Associate Deans, Research.
- b. Heads of School.
- c. Research centre directors.

(16) Researchers must familiarise themselves with the Code and:

- a. conduct their research in accordance with the Code; and
- b. seek advice from a research integrity advisor if they are uncertain of their obligations under the Code.

(17) The Pro Vice-Chancellor (Research and Innovation) will ensure that research staff and students receive information and training on responsible research conduct, including:

- a. research methods;
- b. research authorship procedures;
- c. ethics;
- d. confidentiality; and

e. research data management.

(18) Where any person stated in the scope of this policy breaches the Code or fails to abide by the Code, it will be addressed in accordance with the [Research Misconduct Procedure](#).

(19) All members of the University community within the scope of this policy have a responsibility to report any breach of the Code or research misconduct. Any person who observes or suspects that a breach of the Code or research misconduct has occurred must raise an allegation or seek advice as directed in the [Research Misconduct Procedure](#).

(20) The University will receive reports on research integrity and take action to address any underlying causes of research misconduct.

(21) The [Research Misconduct Procedure](#) states detailed requirements for investigating, recording and reporting allegations and cases of research misconduct.

## **Part C - Research compliance, ethics and safety**

### **Research compliance with the Defence Trade Controls Act**

(22) The University and researchers must ensure that research and dissemination of research outputs do not breach the [Defence Trade Controls Act 2012](#).

(23) Before they supply or publish any goods, software or technology relating to their research, researchers must:

- a. check whether the goods, software or technology are listed as controlled technology on the [Defence Strategic Goods Lists](#);
- b. seek advice from the University's Defence Trade Controls Committee if they believe a permit is required; and
- c. apply to the Defence Trade Controls Committee for a permit.

(24) University staff and researchers who meet any of the criteria listed in the [Defence Trade Controls Procedure](#) must undertake the training specified in the procedure.

(25) The [Defence Trade Controls Procedure](#) states detailed requirements for researchers in identifying controlled goods, software or technology, and applying for permits.

### **Research ethics**

#### **Research involving human participants**

(26) Approval and conduct of research involving human participants is governed by the [National Statement on Ethical Conduct in Human Research](#).

(27) All research involving human participants or their data, including research activities in coursework subjects, must receive ethics approval from the University's Human Research Ethics Committee (HREC) before the research begins.

(28) The ['Human Research Ethics Committee' - Membership and Terms of Reference](#) state the membership, functions and reporting responsibilities of this committee.

#### **Research and teaching involving animals**

(29) The use of animals for teaching and research is governed by the [Australian Code for the Care and Use of Animals for Scientific Purposes](#).

(30) All research and teaching activities involving animals must receive ethics approval from the University's Animal

Care and Ethics Committee (ACEC) before the activity begins.

(31) Everyone involved in the care and use of animals for scientific purposes must accept responsibility and afford respect to animals throughout the animal's lifetime, including:

- a. acquisition;
- b. transport;
- c. breeding;
- d. housing;
- e. husbandry;
- f. use of the animal in a project; and
- g. provisions for the animal at the conclusion of their use.

(32) The ['Animal Care and Ethics Committee' - Membership and Terms of Reference](#) state the membership, functions and reporting responsibilities of this committee.

## **Research safety**

(33) All research must be risk assessed, approved and managed appropriately.

## **Human biological specimens and genetically modified material**

(34) All research and teaching activities involving human biological specimens (blood and other materials of human origin), must comply with the requirements of the [Biosafety Manual](#).

(35) All research and teaching activities involving genetically modified material must receive approval from the University Institutional Biosafety Committee before the activity begins.

(36) The [Biosafety Manual](#) states detail requirements for researchers and subject coordinators in applying for approvals and following relevant safety and compliance requirements.

(37) The [Biosafety Committee - Membership and Terms of Reference](#) state the membership, functions and reporting responsibilities of this committee.

## **Radiation and chemical safety**

(38) All research and teaching activities involving radioactive materials, irradiating apparatus and high power laser devices, must receive approval from the Radiation Safety Committee (RSC) before the activity begins.

(39) The ['Radiation Safety Committee' - Membership and Terms of Reference](#) state the membership, functions and reporting responsibilities of this committee.

(40) All research and teaching activities involving chemical materials must comply with directions for use and disposal from the Chemical Safety Committee.

(41) The [Chemical Safety Manual](#) states the safety and compliance requirements for researchers and subject coordinators.

(42) The [Chemical Safety Committee - Membership and Terms of Reference](#) state the membership, functions and reporting responsibilities of this committee.

## Part D - Research funding and agreements

(43) The Deputy Vice-Chancellor (Research) has the authority under [Delegation Schedule E - E39](#) to approve agreements to receive funding from external funding agencies or other third parties with respect to research.

(44) Special care should be taken when considering agreements or arrangements that may:

- a. because of the source, conditions, or intended purpose, potentially expose the University to adverse publicity or not aligned with University values;
- b. expose the University to the risk of [foreign interference](#);
- c. restrict the [freedom of speech or academic freedoms of University staff or students](#);
- d. involve the following industries that the University sees as being in conflict with its values:
  - i. Organisations with exposure to modern slavery.
  - ii. Manufacture of tobacco.
  - iii. Gambling.
  - iv. Pornography and prostitution.
  - v. Manufacture and distribution of armaments.
  - vi. Coal seam gas and fossil fuels.

(45) In particular, any research funded by the tobacco industry must meet the following criteria:

- a. The research does not have the object of promoting the use of tobacco products.
- b. The name of the University will not be associated directly or by inference with advertising endorsing or promoting tobacco products.
- c. Agreements specify how the sponsorship and findings of the research will be publicised.
- d. Agreements establish who will control the research and dissemination of the findings, ensuring that academic freedom of inquiry and expression are not compromised.

(46) Where research is funded by philanthropic funds or grants, the [Advancement Office](#) should be notified to ensure that ongoing stewardship and donor recognition is accorded to the individual or institution making the donation.

## Part E - Research data management

(47) Before they begin gathering data, researchers will:

- a. ensure they understand their legal, contractual and legislative obligations in managing and using data in research activities; and
- b. develop a research data management plan in accordance with the [Research Data Management Policy](#) and [guidelines](#).

(48) Researchers will then follow and maintain the research data management plan across the term of the research and the period for which the data is maintained.

(49) For research conducted by or on behalf of the University, the University will provide access to facilities for secure storage of research data and for maintaining records of where it is stored.

(50) Research data and primary materials created, collected or curated by University researchers should be accessible for later use as appropriate unless access needs to be restricted for ethical, privacy, legal, intellectual property or confidentiality reasons.

(51) The [Research Data Management Policy](#) states detailed responsibilities of researchers for management, storage, security, retention and sharing of research data.

## **Part F - Research authorship, outputs and dissemination**

### **Research authorship**

(52) The Code states that an author of a research output must:

- a. have 'made a significant intellectual or scholarly contribution to the research and its output'; and
- b. agree to be named as an author.

(53) Researchers preparing a research output must:

- a. offer authorship to all people who meet the criteria for authorship as defined in the [Research Authorship Procedure](#);
- b. list as authors only those persons who meet those criteria and who have agreed to be listed as authors; and
- c. ensure that all those who have contributed to the research, facilities or materials are properly acknowledged.

(54) The Deputy Vice-Chancellor (Research) will decide all disputes about authorship that cannot be resolved through collegial discussion or mediation.

(55) The [Research Authorship Procedure](#) states detailed requirements and guidelines for determining authorship and author order, and for resolving authorship disputes.

### **Research outputs and access**

(56) [CSU Research Output \(CRO\)](#) is the University's system for recording the research outputs of staff and higher degree by research students.

(57) Research outputs that meet the criteria and requirements for the Research Outputs Collection must be submitted to CRO.

(58) Higher degree by research final theses must be submitted to CRO in accordance with the [Higher Degree by Research Policy](#).

(59) Research outputs deposited in [CRO](#) will be open access, except where this is restricted by:

- a. the author's agreement with the publisher;
- b. the agreement of the Deputy Vice-Chancellor (Research); or
- c. requirements to:
  - i. preserve confidentiality;
  - ii. respect culturally sensitive information;
  - iii. prevent the breach of Defence Trade Controls;
  - iv. prevent the breach of copyright such as third-party content or publisher agreements;
  - v. protect commercially sensitive information; or
  - vi. restrict dissemination of information that might be used for cyber-crime.

### **Intellectual property generated by research**

(60) The [Intellectual Property Policy](#) states the University's requirements for management, protection, registration and

commercialisation of intellectual property generated by the research of staff and students of the University and visitors to the University.

## **Part G - External research work and partnerships**

(61) The [Outside Professional Activities Policy](#) states requirements for university staff who undertake research for clients outside the University.

(62) The [University Partnerships Policy](#) states requirements for research partnerships where a school or research team collaborates with an external organisation such as a business, industry body or another tertiary institution. The University's Research Office provides a template outlining what a research partnership agreement must include.

## **Section 4 - Procedures**

(63) The following procedures support this policy:

- a. [Research Misconduct Procedure](#)
- b. [Defence Trade Controls Procedure](#)
- c. [Research Data Management Policy](#)
- d. [Research Authorship Procedure](#)
- e. [Radiation Safety Procedure](#)
- f. [Countering Foreign Interference Procedure](#)

## **Section 5 - Guidelines**

(64) The following guidelines support this policy:

- a. [Defence Trade Controls Publication and Supply Guidelines](#)
- b. [Research Authorship Guidelines](#)



## Status and Details

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