Research Management Procedure

1 Purpose

To outline the University's administrative framework for the management of Research Activities at the University.

2 Scope

This procedure applies to all Researchers.

3 Procedure Overview

This procedure outlines the University processes relating to the management and administration of Research Activities, and should be read in conjunction with the Research Policy, Research Code of Conduct Policy and other Policy Instruments and legislation.

4 Procedures

The University provides a Research administrative framework for all Research Activities and a Research information management system.

The administration of Research Activities will be undertaken through the Research information management system, including submissions for Research funding (competitive and non-competitive), Research Agreements, compliance record-keeping, and Research Output record-keeping.

All Researchers are required to document their Research Activities in the Research information management system in consultation with the Office of Research.

4.1 Submissions for Research funding (competitive and non-competitive)

All lead Researchers involved in developing submissions for competitive and non-competitive Research funding must submit their proposal information and associated documentation via the University's Research information management system at a minimum of 20 working days prior to the external closing date set by the external party. This applies whether the University is the lead institution or a collaborating partner as well as whether any monies are being returned to the University (refer Table 1).

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All Research submissions must be appropriately costed, including direct and indirect costs, to ensure appropriate expenditure and management of funds. Researchers will use costing tools provided through the University's Research information management system to submit costing information for review and approval a minimum of 10 working days prior to the external closing date, unless otherwise advised by the Office of Research.

Table 1: Submission processes and timeframes

Process	Timeframe
Submission of proposal in the University's research information management system	20 working days prior to external closing date*
Submission of costing in the University's research information management system	10 working days prior to external closing date*

* or as otherwise advised by the Office of Research (noting instances where the funding body provides less time than the 20 and/or 10 working day period).

Support for the process of funding submissions are available from the administrative staff of the relevant Research Centre, Research Institute or from the Office of Research.

4.2 Approval and administration

All approval and administration of Research Activities including pre-award, post-award, competitive and non-competitive funding, human Research and animal ethics approvals will be managed through the University's Research information management system. Any administration that occurs outside of the system may result in disciplinary actions under the Research Code of Conduct: Management of Potential Breaches Procedure.

Approval and signing of Research and Research-related agreements will be in accordance with the University's Delegations Policy and Financial Delegations Schedule.

4.2.1 Research Contracts

Researchers must use the University's information management system to create records for the Office of Research to utilise through the contract services process. All research contracts will be reviewed by the Office of Research prior to the signing of agreements governing the performance of any externally funded Research and Research Activities.

4.2.2 Collaborative Research

All Research Activities involving University Researchers and external parties that include funding or formal requirements must be governed by an agreement that has been signed by the University's appropriate delegate as per the Delegations Policy and Financial Delegations Schedule prior to commencement.

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Research projects that include the participation of a Higher Degree by Research (HDR) Student must comply with the University's Higher Degree by Research Student Policy, the Higher Degree by Research Supervision Procedure, and related University Policy Instruments.

4.2.3 Research funding management

The Researcher is responsible for managing how approved funds are allocated on a Research project, in line with contractual agreements, the Costing and Pricing (Research) Procedure and any other funding provider guidelines. Researchers will collaborate with the Office of Research, Research Operations Officers and the Business Advisory team in the ongoing assessment of direct and indirect cost implications, to ensure the efficient and effective management of Research funding.

4.2.4 Variations

Researchers are responsible for identifying any variations required to existing Research Agreements. Variations should be discussed both with the Researchers' executive leadership and with the Office of Research. The Researcher must notify the Office of Research signalling the need for a variation. The Office of Research will engage relevant work areas across the University to facilitate changes to existing agreements, and variations are processed using the variation workflows within the University's Research information management system.

4.3 Compliance

Researchers are bound by the obligations of their contractual Research Agreements, and any legal obligations arising from the relationships between institutions, Researchers and Research subjects and/or participants. Prior to the commencement of any Research Activities, Researchers must ensure appropriate risk management plans, data management plans, ethics approvals and environmental and occupational health and safety requirements are in place, and that the University has access to the appropriate facilities and infrastructure to support the Research project.

Where Research is undertaken internationally, in collaboration with non-Australian partners, or where international contractual obligations apply, Researchers will also comply with the relevant legislation and regulations that guide Research conduct in the relevant jurisdictions.

4.3.1 Trade Controls

Researchers may be required to obtain licences, permits or authorisations from relevant Australian or international government agencies before exporting or transferring controlled goods, technologies, software or information. Researchers are required to assess where their Research is subject to trade controls and to ensure compliance with the University's National Security Policy, National Security Procedure, Sanctions and Export Controls Procedure, and relevant legislation.

Records of any obtained trade controls licenses, permits or authorisations are required to be

maintained in the University's Research information management system in accordance with the University's Records and Information Management Policy and the Research Data and Primary Materials Management Procedure.

4.3.2 Foreign interference, sanctions and modern slavery

Before establishing Research collaborations with foreign entities, Researchers must exercise due diligence in assessing potential partners. Researchers must consider whether partnerships risk potential exposure to foreign interference, autonomous sanctions, or modern slavery practices, and take actions to ensure appropriate measures are in place to mitigate such risks. Researchers must refer to the National Security Policy and National Security Procedure. Formal Research Agreements with foreign entities must be submitted by Researchers via the University's Research information management system. The Research information management system includes due diligence processes that are required prior to contracting.

4.3.3 Generative artificial intelligence (AI)

In the case of funding submissions, Researchers must comply with the use of generative AI requirements stated by the funding bodies to which they are applying. If the funding body does not stipulate its use of AI position, Researchers are advised to exercise caution.

In the case of Research Outputs, Researchers must comply with the use of generative AI requirements stated by the publisher/journal. This may vary from allowing the use of generative AI as long as it is acknowledged appropriately, to not allowing it at all. If the publisher/journal does not stipulate its use of generative AI position, Researchers are advised to exercise caution.

4.4 Monitoring of Research Projects

The relevant Research Centre Director or Research Institute Executive Director of the Research Centre or Research Institute hosting the Research project will monitor their Research projects to ensure projects are conducted according to contractual obligations, and University and legislative requirements.

The Research project team are responsible for ensuring milestones and deliverables are met and maintaining records using the University's Research information management system.

Monitoring of expenditure is undertaken by the Research Operations Officer in the Research Centre or Research Institute hosting the Centre and the Business Advisory team in Financial Services. Expenditure must be approved by the appropriate delegate in line with the University's Delegations Policy and Financial Delegations Schedule.

Monitoring must comply with contractual obligations and UniSQ's Policies and Procedures. Monitoring must occur from when Research is approved and continue over the lifecycle of the Research project, including the closure of the Research project and the communication and publication of results and outcomes.

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4.5 Research Outputs

Research Outputs must be accurate, valid and justified by the results of the Research, to ensure that the dissemination of Research Outputs is responsible and accurate. All Research Activities must be open to review, and all data made publicly available where possible, subject to funding body, contractual, commercial, ethical, confidential and legislative considerations.

Prior to publishing and disseminating Research, Researchers must obtain the necessary permissions and ensure proper attribution of authors, in accordance with the University's Authorship Procedure.

Where the University has accepted Research funds, funding bodies must be acknowledged in any publications related to the Research, in line with any contractual publications clauses, unless anonymity is requested by the funding body.

4.5.1 Peer Review, Publication and dissemination

Researchers are expected to participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content.

The University provides frameworks for the appropriate management of data and information in Research (refer the Research Data and Primary Materials Management Procedure) as well as Indigenous data governance (refer the Research Data Management and Indigenous Data Governance Schedule).

All traditional Research Outputs must be entered into the University's Research information management system within 60 days of publication. Non-Traditional Research Outputs (NTROs) to be entered into the Research information management system within a reasonable timeframe from producing or creating the output.

5 References

Nil.

6 Schedules

This procedure must be read in conjunction with its subordinate schedules as provided in the table below.

7 Procedure Information

Accountable Officer	Deputy Vice-Chancellor (Academic and Research)

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Responsible Officer	Director (Office of Research)
Policy Type	University Procedure
Policy Suite	Research Policy
Subordinate Schedules	
Approved Date	3/6/2024
Effective Date	3/6/2024
Review Date	3/6/2029
Relevant Legislation	Australian Code for the Responsible Conduct of Research, 2018 *Australia's Foreign Relations (State and Territory Arrangements) Act 2020* Higher Education Standards Framework (Threshold Standards) 2021 *Modern Slavery Act 2018*
Policy Exceptions	Policy Exceptions Register
Related Policies	Code of Conduct Policy Conflict of Interest Policy Delegations Policy Intellectual Property Policy National Security Policy Records and Information Management Policy Research Code of Conduct Policy
Related Procedures	Animal Ethics Procedure Authorship Procedure Biosafety Procedure Copyright Procedure (under development) Costing and Pricing (Research) Procedure Higher Degree by Research Student Progress Procedure

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	Human Research Ethics Procedure Intellectual Property Procedure Modern Slavery Prevention Procedure National Security Procedure Property, Plant and Equipment Assets Procedure Research Code of Conduct: Management of Potential Breaches Procedure Research Data and Primary Materials Management Procedure Sanctions and Export Controls Procedure
Related forms, publications and websites	AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research Australian Autonomous Sanctions regimes Australian Government's Consolidated List Australian Research Council's Policy on Use of General Artificial Intelligence Countering Foreign Interference & UniSQ SharePoint site Ethical Conduct in Research with Aboriginal and Torres Strait Islander Peoples and communities Guidelines to Counter Foreign Interference in the Australian University Sector Modern Slavery University of Southern Queensland Research @ UniSQ SharePoint site UniSQ RISE Financial Delegations Schedule
Definitions	**Terms defined in the Definitions Dictionary**
	Higher Degree by Research (HDR) A Research Doctorate or Research Masters program for which at least two-thirds of the Student load for the program is required as

research work.

Higher Degree by Research (HDR) Student

A Student enrolled in an HDR program.

Non-Traditional Research Output (NTRO)

An originally produced or curated creative work/artefact that is developed as a creator's/curator's/producer's Research. Examples of NTROs include original creative works, live performances of creative works, recorded or rendered creative works, curated or produced substantial public exhibitions and events, research reports for external bodies, and portfolios of creative works.

Primary Materials

Physical objects acquired through a process of scholarly investigation from which Research Data may be derived. Includes, but is not limited to, ore, biological material, survey questionnaires, measurements, recordings, artefacts, texts, photographs, and computer results. In some instances, Primary materials may be considered research data, and may be required to be retained to validate the outcomes of research.

Research

Research is the creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions and understandings. This could include the synthesis and analysis of previous research to the extent that it is new and creative.

Research Activities

Refers to activities that result in 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 and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.

Research Agreements

Refers to an agreement between the University and an external entity or entities that provides a legal framework for University Research Activities.

Research Data

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Researchers have a responsibility to retain clear, accurate, secure and complete records of research data. It is critical that data includes records necessary for the reconstruction and evaluation of reported results and processes leading to those results. Research data relates to facts, observations, measurements or experiences on which an argument, theory or test is based. Research Data may be numerical, descriptive, visual or tactile. It may be raw, or analysed, experimental or observational and may be held in any format or media. Examples include, but are not limited to: Laboratory notebooks; Field notebooks; Primary Research Data; Questionnaires; Audio and video recordings; Photographs; Films; Test responses, and Any other records that are necessary for the reconstruction and evaluation of the reported results of research. Research Collections may include slides, specimens, samples and artefacts; with related provenance information. Research data (and primary materials) includes evidence supporting findings. For example, in the Creative Arts this may include early drafts and concept documents prior to the final output of the creative work.

Research Data Management

All the processes and actions required to manage data throughout the research lifecycle to enable it to be preserved and accessible by a controlled audience for current and future research. Examples include: data storage and backup organising data into directories/folders and using meaningful file names archiving final state data for long-term preservation describing datasets for future reuse and discovery data sharing or publishing collaboratively creating and using data with other researchers ensuring security of confidential data synchronising data between desktop, laptop, USB key, cloud storage, etc.

Research Output

An output is an outcome of research and can take many forms. Research Outputs must meet the definition of Research.

Researcher

Any person/s involved in Research Activities at, or on behalf of the University. This includes, but is not limited to Employees, Students, visiting scholars, research partners, research affiliates, holders of Honorary or Adjunct positions.

Student

A person who is enrolled in a UniSQ Upskill Course or who is admitted to an Award Program or Non-Award Program offered by the University and is: currently enrolled in one or more Courses or study units; or not currently enrolled but is on an approved Leave of

	Absence or whose admission has not been cancelled. University The term 'University' or 'UniSQ' means the University of Southern Queensland.
	Definitions that relate to this procedure only
Keywords	foreign interference, interaction, due diligence, modern slavery, export, sanction, compliance, Research
Record No	22/231PL

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