Responsible Research Management Framework Policy

Section 1 - Purpose and Scope

(1) The conduct of research at The University of Queensland (UQ or the University) requires the University to identify and manage legal and regulatory obligations relating to research, and to ensure that research is conducted in a manner that is consistent with the University's values and policies.

(2) This Policy provides UQ's overarching framework for ensuring that research is consistent with the University's legal and regulatory obligations, and that research is conducted responsibly, ethically and with integrity.

(3) The Policy is underpinned by:

a. University of Queensland Act 1998(QLD);
b. Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act);
c. Public Sector Ethics Act 1994 (QLD); and
d. Australian Code for the Responsible Conduct of Research 2018 (the Code).

(4) This Policy applies to all University staff, HDR candidates, students and title holders, and is intended to ensure that all researchers are aware of their ethical, legal and regulatory compliance obligations. This Policy does not replace legislation or broader UQ policies, procedures or guidance.

(5) Policies and procedures relating to specific aspects of the conduct of research are nested under this framework (Table 1)

Table 1. Research Policies and Procedures

Topic	Research Policies and Procedures	Other UQ Policies and Procedures
Compliance and Regulatory Matters (Part C)	Export Controls and Sanctions Frameworks Procedure Human Research Ethics Procedure Animal Ethics in Teaching and Research Procedure Holding Laboratory Animals Outside Biological Resources Facilities Guideline Clinical Trial Governance Procedure	Conflict of Interest Policy
Intellectual Property (Part F)	Intellectual Property Policy Intellectual Property Procedure Researcher-Led Start-Up Pathway Guideline	
Research Funding and Agreements (Part G)	Administration of Research Funding - Applications, Grants and Contract Research Policy Research and Consultancy Costing and Pricing Procedure	Consultancy, Secondary Employment and Internal Work Policy
Research Data (Part H)	Research Data Management Policy	Information Management Policy

Topic	Research Policies and Procedures	Other UQ Policies and Procedures
Dissemination of Research (Part I)	Authorship Procedure Responsible Use of Peer Review Guideline Open Access for UQ Research Publications Policy Open Access for Research Publications Guideline	
Concerns about Research Conduct (Part J)	Managing Complaints about the Conduct of Research Procedure Managing Complaints about the Conduct of Research - Higher Degree by Research Candidates Procedure	Student Integrity and Misconduct Policy
Research Structures (Part K)	Research Centres and Research Networks Policy Collaborative Research Platform and UQ-Hosted NCRIS Activity Policy Collaborative Research Platform and UQ-Hosted NCRIS Activity Procedure	Organisational Structure Policy
A more comprehensive overview of how the Responsible Research Management Framework Policy aligns with external regulatory instruments and other UQ policies and procedures is included in the below Appendix (Section 4).		

Section 2 - Principles and Key Requirements

(6) While undertaking University research responsibilities or activities, researchers must comply with the laws of the State and the Commonwealth.

(7) The following principles are taken directly from the Code and apply to all research activities at the University.

a. Honesty in the development, undertaking and reporting of research.
b. Rigour in the development, undertaking and reporting of research.
c. Transparency in declaring interests and reporting research methodology, data and findings.
d. Fairness in the treatment of others.
e. Respect for research participants, the wider community, animals and the environment.
f. Recognition of the right of Aboriginals and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them.
g. Accountability for the development, undertaking and reporting of research.
h. Promotion of responsible research practices.

(8) UQ researchers are required to conduct themselves in a manner consistent with the Code and the standards set out in the relevant UQ code or charter:

a. Staff and title holders: Staff Code of Conduct Policy;
    i. Students: Student Code of Conduct Policy; and
    ii. Higher Degree by Research (HDR) candidates: Higher Degree by Research Candidature Charter Policy.

Part A - Research Conduct

(9) Researchers are responsible for upholding the principles of the Code through core behaviours that characterise the responsible conduct of research, and will:

a. Support a culture of responsible research conduct at their institution and in their field of practice;

b. Provide guidance and mentorship on responsible research conduct to other researchers or research trainees under the supervision and, where appropriate, monitor their conduct;
c. Undertake and promote education and training in responsible research conduct;
d. Comply with the relevant laws, regulations, disciplinary standards, ethics guidelines and institutional policies related to responsible research conduct;
e. Ensure that appropriate approvals are obtained prior to the commencement of research and that conditions of any approvals are adhered to during the course of research;
f. Ensure that the ethical principles of research merit and integrity, justice, beneficence and respect are applied to human research;
g. Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols;
h. Ensure that the 3Rs (Replacement, Reduction and Refinement) are considered at all stages of research involving animals and minimise the impacts on animals used in research and in so doing support the welfare and wellbeing of these animals.

Part B - Research Governance and Delegations

(10) The Vice-Chancellor delegates the powers in the area of research to the Deputy Vice-Chancellor (Research and Innovation) in accordance with the Delegations Policy.

(11) The Vice-Chancellor legally confers Senate powers or functions as delegations. Delegations relevant to research include financial and contract sub-delegations, HR Sub-delegations, and Sub-delegation of the Responsible Conduct of Research.

(12) The Deputy Vice-Chancellor (Research and Innovation) is responsible for enhancing the University's performance and reputation in research, research training and research collaboration with external stakeholders, nationally and internationally.

(13) The Deputy Vice-Chancellor (Research and Innovation) may seek advice from the University's Research and Innovation Committee, a sub-committee of the Academic Board, as appropriate. The Research and Innovation Committee is a key mechanism for developing the strategy and policy to endure sustained excellence and impact in research and knowledge transfer.

Part C - Compliance and Regulatory Matters

(14) Research activities are required to be undertaken in accordance with compliance obligations and applicable laws, regulations, government policies, mandatory standards, contractual obligations and UQ's policies and procedures. This includes, but is not limited to, compliance with:

a. UQ's Human Research Ethics Procedure, which describes the process for obtaining UQ ethics approval for research involving or about humans, their tissue or data
b. The Animal Ethics in Teaching and Research Procedure, which ensures the use of animals in research and teaching activities is conducted ethically, humanely, responsibly and within the confines of relevant legislative instruments.
c. The Export Controls and Sanctions Frameworks Procedure details the requirements for research activities to be conducted in compliance with Australia's export controls and sanctions legislation.
d. Clinical Trial Governance Procedure outlines the governance processes and good practice arrangements for clinical trials undertaken under the auspices of the University.

Part D - Health, Safety and Wellness

(15) UQ regards the health, safety and wellness of its community as an ethical, moral and legal responsibility. It is unacceptable for anyone to be harmed in the course of their endeavours at UQ, including the conduct of research activities.

(16) The Health, Safety and Wellness Policy and its associated procedures establish UQ's overall health, safety and wellness objectives and requirements to ensure regulatory compliance, safety and protection of individuals and the environment.

(17) Researchers conducting work with biological materials must comply with the Biosafety Policy.

Part E - Research with Aboriginal and Torres Strait Islander Peoples and Communities

(18) The University expects that appropriate recognition, protection, and respect is given to Aboriginal and Torres Strait Islander Peoples and their culture. Research conducted with and for Indigenous Peoples must be in accordance with:

a. AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research;
b. Ethical Conduct in Research with Aboriginal and Torres Strait Islander Peoples and Communities: Guidelines for Researchers and Stakeholders 2018; and
c. NHMRC - Keeping Research on Track II

Part F - Intellectual Property

(19) The University seeks to foster the translation of research for broad knowledge transfer and community benefit. This process may be facilitated through the protection and/or commercialisation of UQ Intellectual Property (UQ IP).

(20) UQ's Intellectual Property Policy and the associated Intellectual Property Procedure outline the University's position on IP ownership and the pathways for commercialising IP.

(21) The Researcher-Led Start-Up Pathway Guideline outlines circumstances where UQ's standard commercialisation pathways may not be viable.

Part G - Research Funding and Agreements

(22) The principles and requirements associated with the administration of research funding is detailed in the Administration of Research Funding – Applications, Grants and Contract Research Policy.

(23) The Research and Consultancy Costing and Pricing Procedure outlines the process for the appropriate and transparent pricing of research and consultancy contracts at the University.

Part H - Research Data

(24) The Research Data Management Policy outlines requirements for the responsible management of research data that is used, held, created, collected and/or generated by UQ researchers.

Part I - Dissemination of Research

(25) UQ researchers have a responsibility to disseminate research findings responsibly, accurately, and broadly.

(26) Attribution of authorship for a research output must be approached according to the principles and responsibilities outlined in the Authorship Procedure.

(27) The requirements for UQ researchers making their research publications openly available is specified in the Open Access for UQ Research Publications Policy.

(28) The Open Access for Research Publications Guideline also provides information on best practice for making research publications open access.

(29) UQ encourages the use of, and participation in, peer review to support the publication of high-quality research outputs and the submission of high-quality funding applications. The Responsible Use of Peer Review Guideline provides advice on the preparation of funding applications and research outputs, and the conduct of peer review.

Part J - Concerns about Research Conduct

(30) The processes for managing complaints about the responsible conduct of research at, or on the behalf of UQ, for staff, title holders and Higher Degree by Research (HDR) candidates are outlined in the Managing Complaints about the Conduct of Research Procedure and the Managing Complaints about the Conduct of Research - Higher Degree by Research Candidates Procedure.

(31) Complaints about the conduct of research involving UQ students, other than HDR candidates, are handled in accordance with the Student Integrity and Misconduct Policy.

Part K - Research Structures

(32) Research Centres and Research Networks facilitate the expansion of research capabilities across the University to advance its strategic priorities. The Research Centres and Research Networks Policy outlines the principles for the establishment, operation and closure of these Research Academic Units at UQ.

(33) The University also invests in Collaborative Research Platforms (CRPs) and UQ-Hosted National Collaborative Research Infrastructure Strategy (NCRIS) Activities to enable UQ research excellence. The operational principles for these units are detailed in the:

a. Collaborative Research Platform and UQ-Hosted NCRIS Activity Policy; and
b. Collaborative Research Platform and UQ-Hosted NCRIS Activity Procedure

Section 3 - Monitoring, Review and Assurance

(34) The Deputy Vice-Chancellor (Research and Innovation) is accountable for monitoring and periodic review of this Policy to ensure it remains effective and meets external legislative/regulatory requirements and internal operational objectives. The Deputy Vice-Chancellor (Research and Innovation) facilitates reporting to the Research and Innovation Committee (a sub-committee of Academic Board) and provides assurance on compliance with this Policy.

Section 4 - Appendix

Overview of UQ policies/procedures, and relevant external instruments

(35) An overview of how the this Policy aligns with external regulatory instruments and other UQ policies and procedures is available for download.

Definitions

(36) Terms used in this Policy that are defined in their respective Policy, Procedure or Guideline, have the same meaning provided in that document.

Term	Definition
Research	The concept of research is broad and includes the creation of new 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.
UQ Researchers	Includes staff, Higher Degree by Research (HDR) candidates, visiting fellows and researchers, adjuncts, academic title holders and students of the University who conduct research.
Staff	Continuing, fixed-term, research (contingent funded) and casual staff members.
Student	A person enrolled as a student at the University or undertaking courses or programs at the University.
Title Holders	Visiting academics, academic title holders, industry fellows, emeritus professor, adjunct and honorary title holders, and conjoint appointments.

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Status and Details

Status	Current
Effective Date	23rd April 2025
Review Date	23rd April 2030
Approval Authority	Vice-Chancellor and President
Approval Date	23rd April 2025
Expiry Date	Not Applicable
Policy Owner	Sue Harrison Deputy Vice-Chancellor (Research and Innovation)
Enquiries Contact	Research Strategy and Performance

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