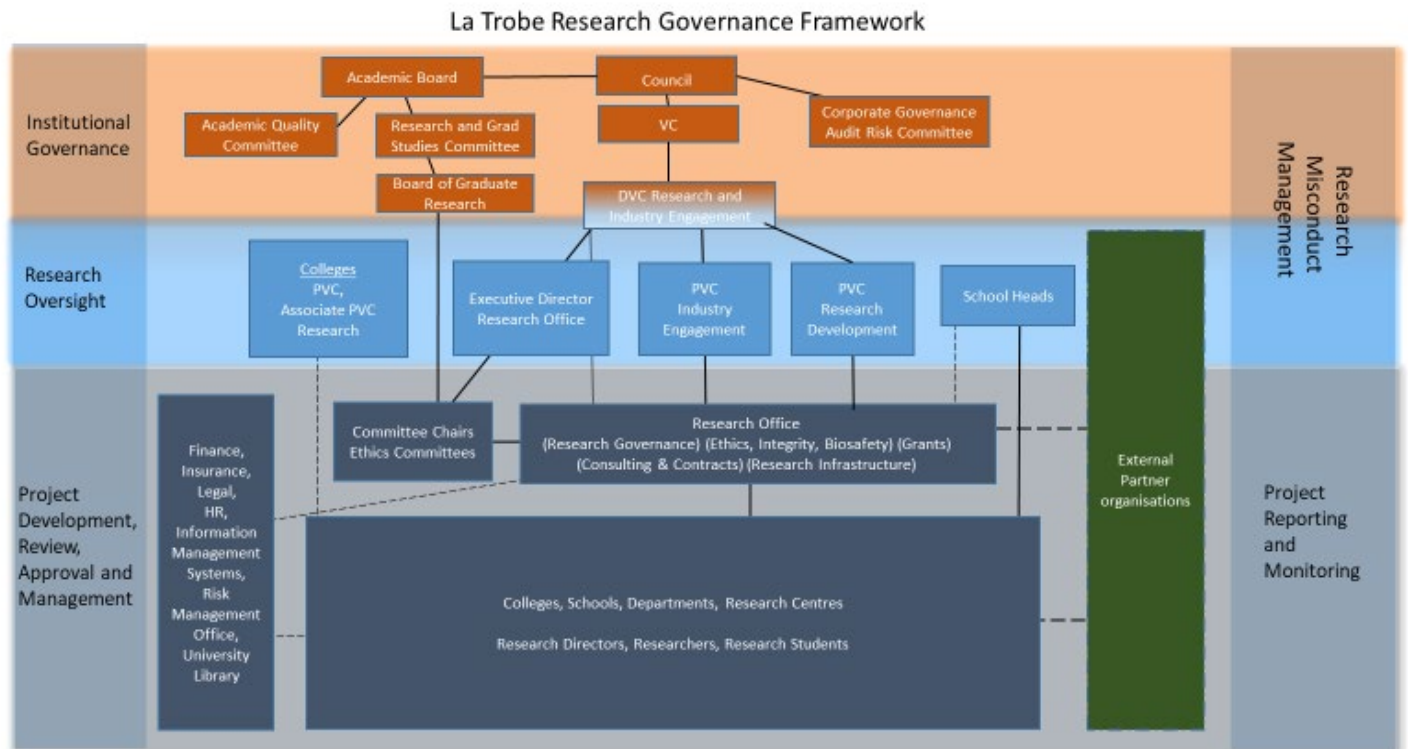


# Research Governance Framework

This framework outlines the key parts of research governance:

1. Project development, review, approval and management;
2. Research oversight, including legal agreement signoff;
3. Institutional governance and overall accountability;
4. Project reporting, monitoring and management of research misconduct and integrity.



## Research Governance Roles and Approvals

Governance consists of a hierarchy of formal research authorisations at the University. These are lines for project authorisation (sign-off) and accountability. The University has established research support facilities through the Research Office, which in turn reports through to the Deputy Vice Chancellor, Research and Industry Engagement ('DVCRI') and to the Academic Board.

All researchers must inform their Head of School before they submit any research funding application or research contract. Funding Applications must be submitted through the Research Office. Research agreements, research contracts, Material Transfer Agreements and any other research related legal agreements must be signed off by the Research Office signing authority (team managers or Executive Director, subject to financial delegation limits).

Research Ethics applications are reviewed and approved by a Human Research Ethics Committee (HREC), the Animal Ethics Committee (AEC) and the Institutional Biosafety Committee (IBC). There are two sub-committees of the HREC that provide advice to the HREC in relation to research projects either from the School of Science, Health and Engineering ('SHE') or the School of Arts, Social Sciences and Commerce ('ASSC').

Research involving clinical trials or other clinical intervention may require additional reviews, agreements and authorisations. Please see the University Ethics, Integrity and Biosafety webpage for detailed information and procedures.

## Research Governance Roles

**University Academic Board** is responsible for oversight of academic governance at the University, in particular, for ensuring the effective development, implementation and review of academic programs and policies and the maintenance of academic standards and reports to Council on these matters.

**Corporate Government Audit Risk Committee** has overarching accountability for the University's Compliance Management Framework; and actively promotes a positive compliance culture to minimise the risk of non-compliance.

**Research and Graduate Studies Committee** is responsible for the development, adoption, implementation and review of relevant policies, procedures and guidelines relating to research and the conduct of research including matters of research integrity, publications, ethics of human and animal experimentation, research consultancies, intellectual property, e-Research. The University Ethics Committees report to this committee.

**Board of Graduate Research** is a subcommittee of the Research and Graduate Studies Committee and is responsible to oversee research integrity, including the management of research misconduct allegations made against higher degree candidates undertaking research.

**Deputy Vice-Chancellor and Vice-President (Research and Industry Engagement)** has responsibility for implementation of the Research governance framework and for fostering good research governance practices. The DVCRI approves and signs off on high value research contracts and agreements.

**Pro Vice-Chancellor (Industry Engagement)** has responsibility for Governance of industry partnerships, intellectual property management and exploitation and can approve research agreements, contracts and partnerships.

**Pro Vice-Chancellor (Research Development)** has responsibility for Governance of research infrastructure, animal facilities, Research Focus Areas and Research Centres.

**College Pro Vice Chancellor** oversees research in their College.

**Associate Pro Vice-Chancellor, Research** oversees research strategy, research integrity and governance and helps resolve any research misconduct matters in their College.

**Heads of School** are responsible for strategic, academic and administrative leadership and for embedding a culture of responsible research conduct. They also approve staff funding applications and funding agreements, though cannot sign research agreements on behalf of the University.

**Executive Directors, Research Office** direct the Research Office, and are authorised by the University to sign funding agreements, contracts and other types of legal agreements up to their designated financial limits. They also review research integrity complaints.

**Grants Team** support, review and provide advice on all University grant funding applications and post-award management.

**Consulting and Contracts Team** support, review and advise on all University research consultancies and contracts.

**Ethics, Integrity and Biosafety Team** manages the administrative processes for ethical approval and governance of all human, animal and biological related research are in place and promotes research integrity and training; The Research Infrastructure team provide advice on strategy and management of the University's research infrastructure portfolio.

**University Biosafety and Ethics Committees** (the University Human Research Ethics Committee and the two College sub-committee, La Trobe Institutional Biosafety Committee and University Animal Ethics Committee) review and, where appropriate, approve applications. This approval is a component of Research Governance and must not be construed as final approval to commence a research project. It is the responsibility researchers, in conjunction with the Research Office, to ensure all elements of Research Governance are considered prior to the commencement of a research project.

**Researchers** are expected to support a culture of responsible research conduct. They need to be familiar with the key University policies and conduct and manage their research in a manner consistent with this framework.

**Staff and students involved in research** share responsibility and accountability for the University's research being conducted according to appropriate regulatory, ethical and scientific standards.

## Related Documents

La Trobe University has a number of policies and procedures relating to research conduct and governance that may be found in the [Policy Library](#). These include:

[\(00109\) Animal Ethics Procedure](#)

[\(00105\) Authorship of Research Outputs Policy](#)

[\(00290\) Autonomous Sanctions Policy](#)

[\(00330\) Biosafety and Biosecurity Policy](#)

[\(00108\) Biosafety and Biosecurity Procedure](#)

[\(00071\) Code of Conduct](#)

[\(00083\) Conflict of Interest Policy](#)

[\(00086\) Direct Appointment Policy](#)

[\(00114\) Graduate Research Supervision Policy](#)

[\(00361\) Health and Safety Procedure - Laboratory \(Research\) Safety](#)

[\(00112\) Human Ethics Procedure](#)

[\(00069\) Information Security Policy](#)

[\(00101\) Intellectual Property Policy](#)

[\(00292\) Peer Review Policy](#)

[\(00293\) Publication and Dissemination of Research Outputs Policy](#)

[\(00010\) Records and Archives Management Policy](#)

[\(00015\) Records Management Procedure](#)

[\(00056\) Recruitment Policy](#)

[\(00104\) Research Contracts and Grants Policy](#)

[\(00106\) Research Data Management Policy](#)

[\(00111\) Research Integrity - Higher Degree Student Research Misconduct Procedure](#)

[\(00107\) Research Integrity Policy](#)

[\(00110\) Research Misconduct Procedure](#)

[\(00040\) Risk Management Policy](#)