

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 sign-off;
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 Senior Deputy Vice Chancellor and the Vice President, Research and Industry Engagement ('SDVCRIE') through to the Executive Director, Research Office.

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/Data 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). Legal review of research agreements may be required for an agreement.

Research ethics applications are reviewed and approved by a Human Research Ethics Committee (HREC), a subcommittee of the HREC, the Community of Practice Low Risk Committee, the Animal Ethics Committee (AEC) and the La Trobe University Institutional Biosafety Committee (LTIBC), as necessary.

Research involving clinical trials or other health intervention may require additional reviews, agreements and authorisations. Detailed information and procedures can be found on the University Ethics, Integrity and Biosafety webpage.

Research Governance Roles

The 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.

The Corporate Governance, Risk, Internal Audit and Safety Committee (CGRIASC) has overarching accountability for the University's Compliance Management Framework; and actively promotes a positive compliance culture to minimise the risk of non-compliance.

The Research and Graduate Studies Committee (RGSC) 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, and e-Research. The University Ethics Committees and the Biosafety Committee report to this committee.

The Board of Graduate Research is a subcommittee of the Research and Graduate Studies Committee and is responsible for overseeing research integrity, including the management of research integrity matters, involving higher degree candidates undertaking research.

The SDVCRIE is responsible for implementation of the Research Governance Framework and for fostering good research governance practices. The SDVCRIE oversees research strategy, research integrity and governance and approves and signs off on high value research contracts and agreements.

The 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.

The Pro Vice-Chancellor (Research Capability) has responsibility for governance of research infrastructure, animal facilities, Research Themes, Research Institutes and Research Centres.

Office of the Provost oversees research in University's Schools.

Deans of School are responsible for strategic, academic and administrative leadership and for embedding a culture of responsible research conduct through training and supporting initiatives developed by the Ethics, Integrity and Biosafety (EIB) and Research Education and Development (RED) teams. They also approve staff funding applications and funding agreements, though cannot sign research agreements on behalf of the University.

The Executive Directors, Research Office directs the Research Office, and is authorised by the University to sign funding agreements, contracts and other types of legal agreements up to a designated financial limit.

The Research Office's Research Grants and Transformation team support, review and provide advice on all University grant funding applications and post-award management.

The Research Office's Consulting and Contracts team support, review and advise on all University research consultancies and contracts.

The Research Office's Ethics, Integrity and Biosafety team provides advice and training to researchers at the University and supports the HREC, Community of Practice Low Risk Committee, AED and LTIBC. The team is responsible for managing the administrative processes for ethical and biosafety approval and for handling research integrity matters involving research staff. They are also responsible for risk-based monitoring of approved research.

The Research Office's Research Performance team provides a range of intersecting data and information services that inform and measure the University's research performance and reputation.

The University Biosafety and Ethics Committees review and, where appropriate, approve ethics and biosafety 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 of researchers, in conjunction with the Research Office, to ensure all elements of research governance are considered prior to the commencement of a research project.

The RED team provides access to training, information and resources related to ethical and regulatory compliance for all researchers and research students at the University.

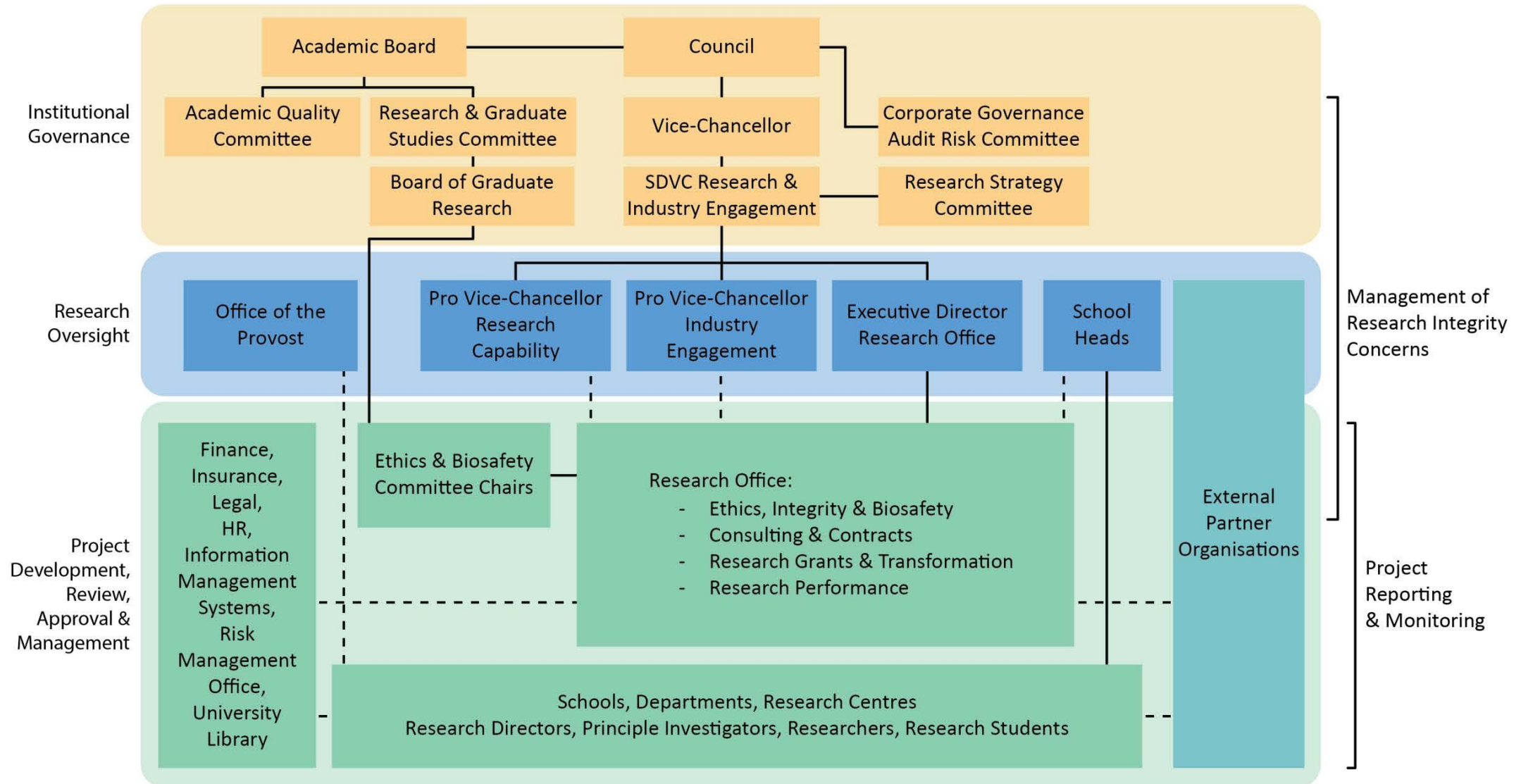
La Trobe Lead Chief Investigators are responsible for all research conducted under their supervision. This includes, but is not limited to, considering the feasibility and merit of research projects; conducting necessary risk assessments; preparing ethics and biosafety applications; authorising expenditure from grant or contract funding; ensuring that members of their team are suitably trained; monitoring the conduct of researchers under their supervision and ensuring

that research complies with relevant laws, regulations, standards, guidelines and policies.

All researchers are expected to support a culture of responsible research conduct and report any suspected research integrity concerns. They need to be familiar with the key University policies and conduct and manage their research in a manner consistent with this framework and the [Australian Code for the Responsible Conduct of Research \(2018\)](#).

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.

La Trobe University Research Governance Framework



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:

[Research Animal Ethics Procedure](#)

[Research Authorship and Outputs Policy](#)

[Autonomous Sanctions Policy](#)

[Research Biosafety and Biosecurity Policy](#)

[Research Biosafety and Biosecurity Procedure](#)

[Research Centres Policy](#)

[Research Clinical Trials Policy](#)

[Research Governance Policy](#)

[Compliance Management Policy](#)

[Conscientious Objections Policy](#)

[Code of Conduct](#)

[Conflict of Interest Policy](#)

[Direct Appointment Policy](#)

[Graduate Research Supervision Policy](#)

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

[Research Human Ethics Procedure](#)

[Information Security Policy](#)

[Intellectual Property Policy](#)

[Research Peer Review Procedure](#)

[Records Management Policy](#)

[Recruitment Policy](#)

[Research Contracts and Grants Policy](#)

[Research Data Management Policy](#)

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

[Research Integrity Policy](#)

[Research Misconduct Procedure](#)

[Risk Management Policy](#)