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Purpose

This procedure guides researchers in how to conduct collaborative research responsibly and in accordance with the principles of the *Australian Code for the Responsible Conduct of Research 2018* (the Code).

Applicable governance instruments

Instrument	Section	Principles
<i>Research Policy</i>	2 Responsible conduct of research	2.1-2.3
<i>Partnerships Policy</i>	1 Partners	1.1-1.2
	2 Research partners	2.1-2.3
<i>Compliance Policy</i>	2 Conflicts of interest	2.1-2.2
	3 Foreign influence and foreign interference	3.1-3.3
<i>Academic Freedom and Free Speech Policy</i>	1 Right to academic freedom and freedom of speech	1.4
<i>People Policy</i>	3 Consultancy	3.1-3.2
<i>Behaviour Policy</i>	1 Behaviour	1.1-1.5
<i>Risk Management and Business Resilience Policy</i>	1 Risk management	1.3-1.4
<i>General Delegations Ordinance</i>		
<i>Australian Code for the Responsible Conduct of Research</i>		
<i>Collaborative Research: A guide supporting the Australian Code for the Responsible Conduct of Research</i>		
<i>Legal Compliance Framework</i>		

Procedure

1. General principles

- 1.1 In this procedure, collaborative research refers to collaboration with local, national, and international organisations external to the University. It can include research partners in higher education, and in the private, government, and not-for-profit sectors.
- 1.2 While research practices may differ between countries, University researchers will follow this Procedure even when conducting research outside Australia.
- 1.3 Appropriate due diligence inquiries into the standing of potential international research partners must be made, and must:
 - a consider foreign influence, interference and arrangements risks in accordance with the Legal Compliance Framework
 - b ensure compliance with Defence Export Controls and Autonomous Sanctions requirements, and
 - c ensure risks related to Modern Slavery are managed in accordance with the Sustainability Policy.
- 1.4 University researchers will:
 - a obtain all required ethics approval/s in accordance with the Research Ethics Procedure, regardless of whether the first named researcher on the collaborative research project is affiliated with the University
 - b obtain all required safety clearances in accordance with legislation and University policies related to Work Health and Safety
 - c comply with confidentiality requirements in accordance with relevant legislation, agreements, research ethics requirements, and other relevant professional standards
 - d be aware of, understand, and comply with all policies and written agreements affecting the project, particularly those relating to intellectual property, the publication and dissemination of research, and the management of research data and primary materials
 - e observe responsible research practices and report any potential breaches of the agreement in accordance with the procedures that are established or referred to in the project agreement.

2. Collaborative research agreements

- 2.1. Collaborative research involves a continuum of activities ranging in scale from simple discussions through to significant long-term partnerships. In most cases there will be a need to address matters between the University and a student, adjunct, associate, and clinical title holder, or third party such as a collaborator, funder, or sponsor. Formal agreements should be used to record all understandings between these parties. Examples include research involving:
 - a external funding
 - b use of a party's existing intellectual property (IP), creation of new IP, and/or use of new IP, including licensing, research, teaching and commercialisation
 - c co-funded higher degree by research (HDR) stipends
 - d material or data transfers
- 2.2. A written collaborative research agreement is also required where the research meets the threshold for notification in accordance with risk-based assessment. Risks associated with the research collaboration should be evaluated in accordance with the *Risk Management Procedure*,

including application of the [Risk Rating Matrix](#) and review of the [Risk Appetite Statements](#). Where the residual risk is moderate or higher a written collaborative research agreement is required.

- 2.3. Agreements must be consistent with the principles of the Code, and especially in relation to the need for honesty, transparency, fairness, respect, and accountability.
- 2.4. When developing collaborative research agreements, the following should be considered:
 - a the expectations of each party in terms of their respective roles and responsibilities, designating the institutions or individuals that will take the lead in reporting to funders, considering regulatory bodies, and managing potential breaches of the Code
 - b the involvement of research trainees including early career researchers, HDR candidates, and undergraduate students
 - c governance of the project, including managing significant changes such as partners leaving or joining the collaboration
 - d the use, management, sharing, and ownership of research data, primary materials, and IP (including copyright and background IP belonging to individual parties that is shared in the course of the collaborative research), including:
 - i. where practical, the ongoing ownership, stewardship or control of research data and primary materials in the event a researcher or institution leaves the collaboration during the project
 - ii. any plans to commercialise research outputs and any entitlements to commercial returns
 - e access to IP, other assets or items that are retained at the end of the project
 - f the requirements for the disclosure and management of conflicts of interest
 - g the allocation of responsibilities in relation to ethics and governance approval and safety clearances
 - h the management of confidentiality issues
 - i the protocols for the dissemination of research outputs
 - j the protocols for authorship and acknowledgement of research outputs, including data outputs
 - k funding arrangements (with funding sources declared transparently)
 - l the designation of which party or parties are entitled to communicate on behalf of the collaboration
 - m dispute resolution procedures to facilitate the just, efficient, timely and cost-effective resolution of any issues in dispute
 - n the procedures for managing and investigating potential breaches of the Code, including provisions for the disclosure, where necessary, of researchers' personal information to other collaborative institutions and, where relevant, funders, to facilitate the management and investigation of potential breaches of the Code.
- 2.5. The collaborative research agreement will:
 - a be a legally binding agreement
 - b be executed by the appropriate University delegate in accordance with the General Delegations Ordinance
 - c acknowledge the University's adherence to the Code

- d be consistent with relevant University policies including the Intellectual Property Policy and the People Policy
- 2.6. Where the first named researcher on a collaborative research project is affiliated with the University, the University will normally have primary reporting responsibilities.
- 2.7. Each collaborating institution has responsibility for identifying a person to be involved in the management of research data, primary materials and other items to be retained at the end of the research project. Each collaborating institution will normally be responsible for the management of research data and primary materials within their institution.
- 2.8. The Office of Research Services will facilitate the collaborative research agreement for both funded and non-funded research, in accordance with the *Management of Research Funding Procedure*.
- 2.9. The first named University of Tasmania researcher (Chief, Lead or Principal Investigator) will be engaged in the process of developing and monitoring agreements for their collaborative research projects. Other members of the project team should be involved as appropriate.
- 2.10. Chief investigators will ensure that all members of the project team are made aware of the terms of the agreement and any identified risks.
- 2.11. Chief investigators should review agreements periodically to ensure that provisions remain current. Where changes to provisions are required, chief investigators should notify their [Funding Officer in the Office of Research Services](#).

3. Collaborative research and breaches of the Code

- 3.1. The management and investigation of potential breaches of the Code involving multi-institutional collaborations will be considered on a case-by-case basis, in accordance with the *Managing Allegations of Research Misconduct Procedure*.

Related procedures

Authorship Procedure

Conflicts of Interest Procedure

Management of Intellectual Property Procedure

Management of Research Data Procedure

Management of Research Funding Procedure

Managing Allegations of Research Misconduct Procedure

Research Ethics Procedure

Risk Management Procedure

Versions

Version	Action	Approval Authority	Responsible Officer/s	Approval Date
1	Approval	Deputy Vice-Chancellor (Research)	Executive Director Research	31/08/2021