



THE UNIVERSITY OF  
**NEWCASTLE**  
AUSTRALIA

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# RESEARCH MANUAL

**A Guide for Researchers and Research Administrators**



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**Note:** this is a Guide to research-related policies and procedures at the University of Newcastle. It is not intended to be an exhaustive description of all research-related policies and procedures or to substitute for key documents such as Personnel Policies and Procedures or Finance Policy and Procedures. Rather it provides short summaries on key topics, references to more detailed sources, and links to useful publications and other sources of information on the University's web site. The Research Division encourages all researchers to remain aware of the current University Policy and Procedures relevant to their role and research activities. These documents are available at <http://www.newcastle.edu.au/policy/> .

Please ensure you use the most current version of this Manual, available from the web: <http://www.newcastle.edu.au/research/research-services/>.

To recommend content, or report errors/omissions, contact Trudi Wynne, Research Services, (02) 492 15304 or email: [Trudi.Wynne@newcastle.edu.au](mailto:Trudi.Wynne@newcastle.edu.au).

## WELCOME FROM THE DEPUTY VICE-CHANCELLOR (RESEARCH)



*Professor Mike Calford*

The University of Newcastle is consistently ranked in the top 10 universities in Australia in research performance, and is the leading regional university in research performance. The University is justifiably proud of its research achievements, and recognises the importance of supporting its researchers and of facilitating their work.

The University's main research strengths lie in the areas of health, science and engineering, however research excellence flourishes across all fields, and is constantly evolving, as new research areas emerge, and new researchers join the University. Our research covers a broad range of activities, and is supported by multiple funding sources, including strong support from government and the private sector.

Such diversity of effort inevitably entails a great diversity of administrative requirements, because research is a complex and often potentially hazardous activity, which has to be carefully regulated. Depending on the nature of the project, a researcher may have to obtain ethics and safety clearances, provide regular reports to the funding body and advise the University of publications and other intellectual property arising from the research. Researchers must prepare grant applications, appoint staff, establish research scholarships, supervise research higher degree candidates, purchase equipment, and comply with relevant University policies, as well as actually undertaking the research.

The Research Division exists to assist with these processes, and this Research Manual is intended to be a guide to the labyrinth. It does not attempt to provide exhaustive details on "how to", but is designed to give an overview of the topics and processes involved, and to provide researchers with direction on where to go to find detailed information on a wide range of administrative and regulatory issues. Like any such document, it may contain errors and omissions, and we welcome feedback from users, which can help us to improve it.

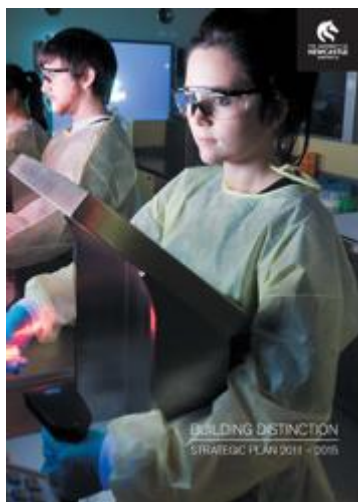
## SECTION 1: RESEARCH MANAGEMENT

### *RESEARCH AND THE UNIVERSITY*

The University of Newcastle is one of Australia's top 10 research universities and is a leading provider of research training. Its research is of demonstrable social and economic value to our region and to Australia and has a strong international reputation. High quality research enables our academic staff to expand the knowledge base, apply innovation and incorporate new ideas into what is being taught.

Research is facilitated through:

- Extensive research project support from national competitive grants schemes, industry funding and University resources.
- Commonwealth-funded Centres with participants from industry and government agencies.
- Shared access to the expensive and large-scale research infrastructure, equipment and facilities of other Australian universities and Government facilities and agencies (e.g. ANSTO/Synchrotron)
- Shared access to expensive research installations, accommodated by the University of Newcastle, for staff of other universities and industry users, to undertake collaborative research.
- International research agreements that make it possible for our researchers to join in research initiatives with countries around the world.
- Research agreements with government research agencies, such as those that permit research in nuclear science, satellite technology, space weather and energy.



Key measures and targets for research excellence at the university are outlined in **Building Distinction: Strategic Plan 2011-2015.**

[Download \*Building Distinction: Strategic Plan 2011-2015\* \(PDF, 2.47 MB\)](#)

### *THE RESPONSIBLE CONDUCT OF RESEARCH*

The [Australian Code for the Responsible Conduct of Research](#) guides institutions and researchers in responsible research practices and promotes integrity in research for researchers.

The Code is in two parts:

**Part A** advocates and describes best practice for both institutions and researchers. For example, guidance is provided on how to manage research data and materials, how to publish and disseminate research findings, including proper attribution of authorship, how to conduct effective peer review, supervision of Research Higher Degree students, and how to manage conflicts of interest.

**Part B** provides a valuable framework for handling breaches of the Code and research misconduct. This part of the Code helps institutions and researchers to understand their responsibilities in the event that a breach of the Code occurs or an allegation of research misconduct is made. The Code guides institutions through the appropriate responses and explains the responsibilities and rights of researchers if they witness research misconduct. This section of the Code is designed to ensure there are agreed, clear, fair and effective processes in place in the event of an allegation of research misconduct.

Developed jointly by the National Health and Medical Research Council, the Australian Research Council and Universities Australia, the Code has broad relevance across all research disciplines. It replaced the Joint NHMRC/AVCC Statement and Guidelines on Research Practice (1997).

Compliance with the Code is a prerequisite for receipt of National Health and Medical Research Council funding. The university has developed a suite of policies to assist researchers in complying with the Code.

### ***RESEARCH POLICIES***

Rules, policies and procedures are an essential part of the governance framework as they dictate the principles by which the University will act. The [Policy@Newcastle](#) website provides access to the legislation, rules, policies, procedures and guidelines which constitute the [University's Policy Library](#). It also details the policy framework which provides structure to the Policy Library.

A [Research Policy suite](#) has been developed within the University Policy Framework.

### ***ACADEMIC GOVERNANCE***

The academic governance of research at the University of Newcastle is the responsibility of the Research Committee, a sub-committee of Academic Senate. The Research Committee is advised by the Research Advisory Group, the Research Training Sub-Committee, the Human Research Ethics Committee, the Animal Care and Ethics Committee and the Occupational Health and Safety Committee.

### ***UNIVERSITY RESEARCH COMMITTEES AND ADVISORY GROUPS***

#### **Research Committee**

The Research Committee is responsible for advising on strategic policy and planning, quality assurance in relation to research and research training and ensuring the availability of support for research and research training activities.

#### **Research Advisory Group**

The Research Advisory Group (RAG) provides advice on research funding to the Research Committee and makes decisions on applications for the University's internal Research Grant schemes.

#### **Research Training Sub-Committee**

The Research Training Sub-Committee exercises the responsibilities presented in the Rules Governing Research Higher Degrees. It provides policy advice to the Research Committee on matters arising from consideration of the Sub-Committee's agendas and on any other research training matters as referred by the Research Committee.

#### **Animal Care and Ethics Committee**

The Animal Care and Ethics Committee (ACEC) is responsible for the consideration of ethical and welfare aspects as well as the scientific or educational value of the use of animals for research and teaching purposes.

#### **Human Research Ethics Committee**

The Human Research Ethics Committee (HREC) is responsible for the review of applications for ethical approval for human research and for the provision of advice to the University on related matters.

#### **Institutional Biosafety Committee**

The Institutional Biosafety Committee (IBC) is responsible for the review of applications involving biological hazards, genetically modified organisms, animal material (tissue and fluids), human material (tissue and fluids) and micro-organisms for research and teaching purposes and for the provision of advice to the University on related matters.

#### **Chemical and Radiation Technical Committee**

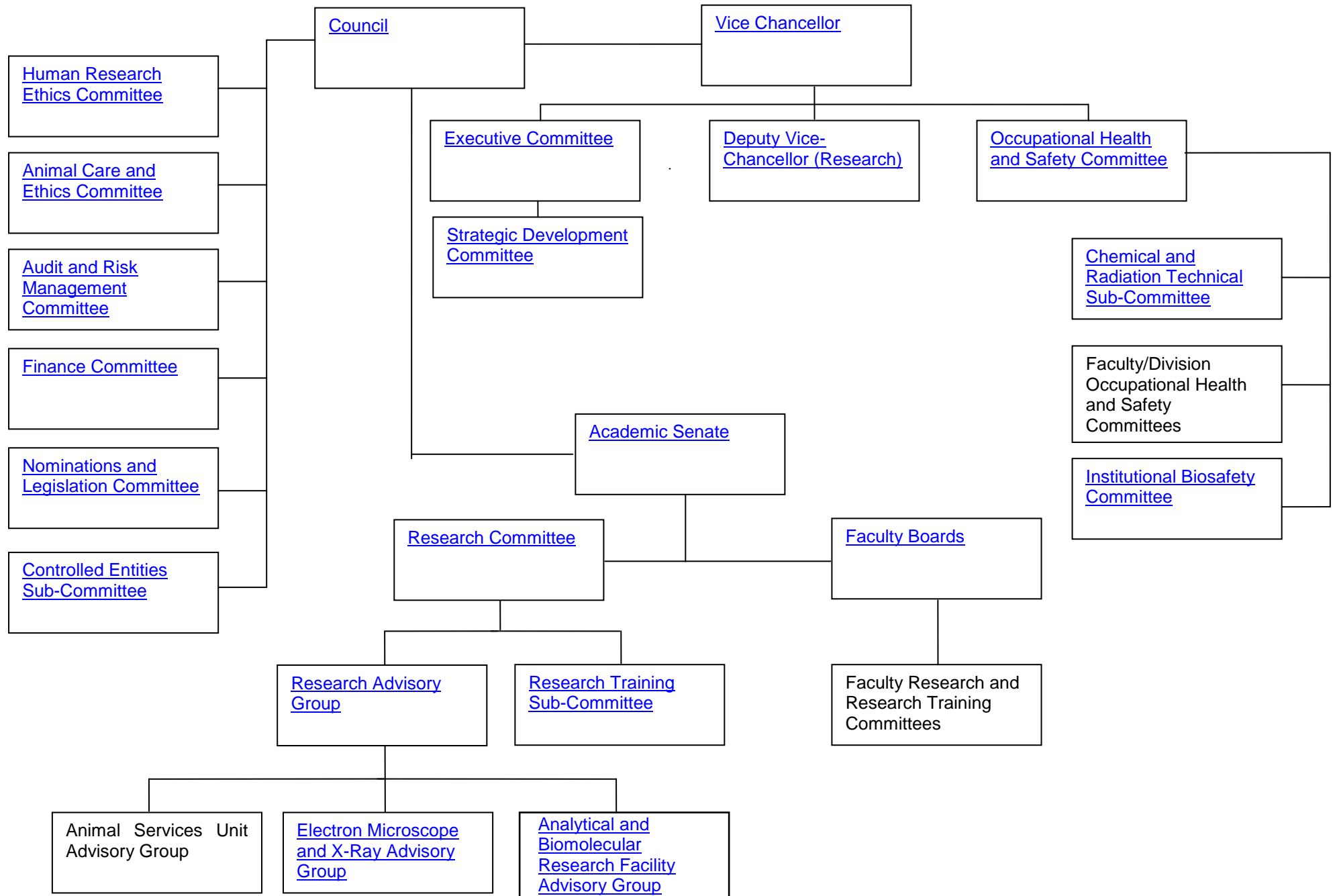
The Chemical and Radiation Technical Committee (CRTC) is responsible for the review of applications involving Chemical and Radiation hazards for research and teaching purposes and for the provision of advice to the University on related matters.

#### **Animal Services Unit Advisory Group**

The Animal Services Unit Advisory Group (ASUAG) is responsible for advising the DVC(R) and the RAG on matters affecting the Animal Services Unit (ASU) and the provision of services by the ASU; for developing a strategic plan for the ASU and providing on-going strategic direction and advice to the ASU.

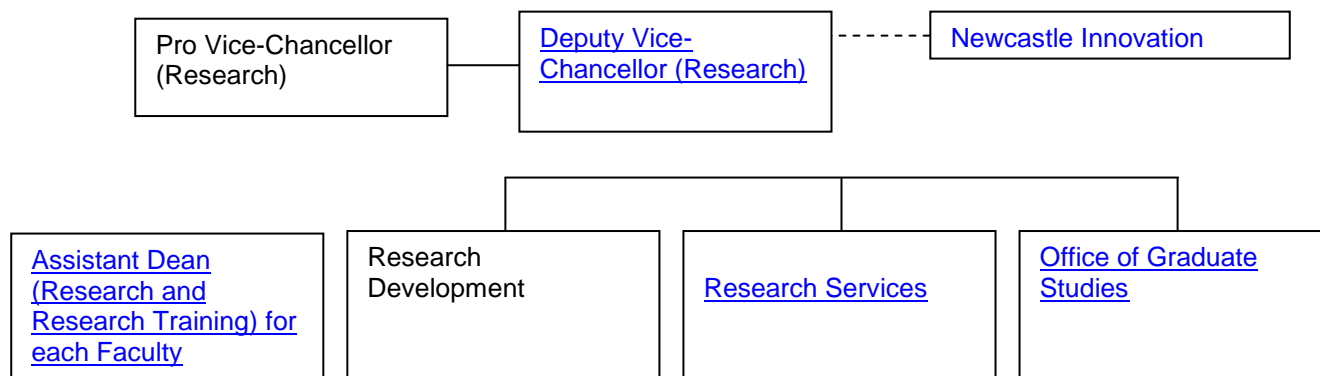
#### **Central Scientific Services**

The [Electron Microscope and X-Ray \(EMX\)](#) and the [Analytical and Biomolecular Research Facility \(ABRF\)](#) Advisory Groups are responsible for developing an overarching strategic plan for the Research Support Unit including items such as potential ARC LIEF and University equipment applications, and for providing on-going strategic direction and advice.



## RESEARCH ADMINISTRATIVE SUPPORT STRUCTURE

The administrative support for research at the University of Newcastle is the responsibility of the Research Division, comprising the Office of the DVC(R), the Office of Graduate Studies and Research Services. It works in collaboration with the Faculties through the Assistant Deans Research and Research Training and Faculty based research support staff; and with the External Relations Unit, Human Resources Services for OH&S matters and Newcastle Innovation for commercialisation.



### DEPUTY VICE-CHANCELLOR (RESEARCH)

The Deputy Vice-Chancellor (Research) has overall responsibility for the University's research activities, and for the strategic planning and development of the University's research effort. Research Services, Office of Graduate Studies and Research Development report to the Deputy Vice-Chancellor (Research). The DVC(R) is also a member, ex officio, of the Board of Newcastle Innovation.

### PRO-VICE CHANCELLOR (RESEARCH)

- Affords high level assistance to the DVC(R) on all matters relevant to research and assists in the University's response to national research and innovation policy;
- Represents the University and the DVC(R) on internal and external bodies relevant to research and research training;
- Supports the development of strategic partnerships in research and research training;
- Is the standing deputy to the DVC(R)

### ASSISTANT DEANS (RESEARCH AND RESEARCH TRAINING)

- Provide advice to Faculty Boards on research and research training matters;
- Assist the Faculty PVC to develop research strategy and direction;
- In conjunction with Heads of School, advise the PVC on resources and profile;
- Accountable for staff management issues where relevant;
- Implement research strategies and monitor/review plans as appropriate;
- Provide relevant research statistics and reports;
- Act for and assist the PVC as directed;
- Act in the role of Research Integrity Advisor

### OFFICE OF GRADUATE STUDIES

The Office of Graduate Studies, headed by the Dean of Graduate Studies, administers scholarships, admission, progression, and examination of research higher degree candidature and provides services to support research higher degree students, and their supervisors.

The [Research Higher Degrees website](#) provides information for prospective and current higher degree students and their supervisors, and University staff with an interest in Research Training.

## **RESEARCH SERVICES**

Research Services, headed by the Director, Research Services, provides policy, administrative and technical support for research, including:

- Support for the University's commitment to the Australian Code for the Responsible Conduct of Research;
- Development and implementation of policies and procedures related to the management, governance and support of research;
- Governance of major research infrastructure (equipment and facilities);
- Support for the University's response to the ERA exercise.

Research Services includes the following units:

~ [Animal Services Unit](#): provides research and teaching animal breeding and holding facilities and support services for researchers working with animals.

~ [Animal Welfare and Training Unit](#): provides professional and technical advice on best practice in research animal welfare; facilitates compliance with relevant legislation and codes; and provides veterinary advice and services as required.

~ [Central Scientific Services](#): consists of the Analytical and Bio-Molecular Research Facility and the Electron Microscopy/X-Ray Unit.

~ **Director's Unit**: research policy, management and development; research centres; Research Services website.

~ **ERA Project Team**: [ERA](#) is a national data-based assessment process. The ERA team is responsible for co-ordinating and maximising the University's ERA submission. Researchers are encouraged to log into [Research Portfolio Manager](#) to ensure that all of their publications for the ERA assessment period are recorded.

~ **Research Integrity Unit**: provides advice and support services in the areas of research integrity, responsible conduct of research; and [animal ethics](#) and [human ethics](#) advice, approvals, monitoring and reporting;

~ [Research Office \(Grants and Contracts\)](#): sourcing and promoting grant opportunities; liaising with granting bodies; management of internal grant rounds; review of research grant applications; research contracts (in collaboration with the University Legal Unit); grant establishment and monitoring; and support for the RAG.

~ [Research Performance and Systems Unit](#): research performance data collection and analysis, research databases; research publications returns; research data audits and statistics.

~ **Research Development**: Research Development facilitates partnership opportunities with business, government and community. The unit actively supports external access and linkages with the University's Faculties, Priority Research Centres and NIER. Research Development capabilities are inherent across the University in areas like Newcastle Innovation, International and Faculty Development.

## **NEWCASTLE INNOVATION**

Formerly TUNRA (The University of Newcastle Research Associates), is the commercial arm of the University of Newcastle. It was incorporated in 1969 as a company limited by guarantee by the Council of The University of Newcastle.

As a not-for-profit organisation, Newcastle Innovation's mission is to facilitate the transfer of knowledge, technology, and scientific research from the University of Newcastle to its commercial partners, thus creating economic value.

## **HEALTH SAFETY AND ENVIRONMENT TEAM**

The Health Safety and Environment (HSE) Team is a unit within Human Resources. HSE provides advice and support on Health Safety and Environmental legislative requirements and responsibilities. The team support both the Institutional Biosafety Committee and the CRTC and co-ordinate the safety clearance system.

Other services provided by the team include OHS training and development, Auditing, Risk Assessment, Ergonomic Assessment, Co-ordination of First Aid Officers and Evacuation Wardens, Rehabilitation Programs, Injury Reporting and Workers Compensation.



## RESEARCH CENTRES

The University has established research centres and institutes in key focus areas. Some, such as the Priority Research Centres, are major research groupings with an international reputation for their research activities. Research Institutes are cross-disciplinary areas of excellence in research and development. University Centres are established or emerging research groups recognised by the University.

### *PRIORITY RESEARCH CENTRES*

A Priority Research Centre is a research grouping that accommodates a major research activity relevant to the University's purpose, vision and goals; of significance to the community; and meriting repute beyond the University. It is a contributor in its field of expertise at the national and international level and provides industry and the community with a reference point in the appropriate field(s) of study.

### *RESEARCH INSTITUTES*

**A Research Institute is a research grouping that accommodates a primarily cross-disciplinary area of excellence in research and development, established by the University to facilitate, extend and enable the promotion of that research.**

### *OTHER RESEARCH CENTRES*

Research centres are a critical part of the University's research activity in terms of strengthening research capability, attracting external funding and improving the quality and quantity of research output. Moreover, they are instrumental in enhancing the career development and research opportunities of individual staff and in attracting high quality research higher degree students to the University. Research centres have a highly significant role to play in the University's research agenda.

### *POLICY AND GUIDELINES*

This link provides access to the [University Research Centres and Institutes policy](#). This policy must be read in conjunction with the [Priority Research Centres Guidelines](#), the [Research Institutes Guidelines](#) and the [University Centres Guidelines](#) which offer essential detail on the procedures for developing, conducting and working within a research centre or institute.

## SECTION 2: RESEARCH ADMINISTRATION

### *SEEKING FUNDING FOR RESEARCH*

Academic and research staff are encouraged to seek external funding to support their research projects. Internal grant schemes can be used by researchers to establish their research to the point where they can compete successfully for external funds.

The latest information, including closing dates, for these and other grant opportunities, is made available through email lists maintained by the Research Office. These email lists will allow you to be informed directly of upcoming grant application rounds. If you apply for ARC and NHMRC funding it is essential that you subscribe to the appropriate email list as this is the primary method of communicating information received from these Research Councils.

Click on the link to subscribe to an [email list\(s\)](#) in your area of interest.

### *UNIVERSITY OF NEWCASTLE RESEARCH SUPPORT GRANT SCHEMES*

The University of Newcastle offers a range of research support schemes to foster and encourage researchers to the point where they can become competitive for external research funding. The Research Advisory Group (RAG) and the Research Office manage these internal grant schemes.

Faculties also offer research support in addition to those offered by the RAG. To find out more about funding opportunities available within your Faculty, contact your [Faculty Assistant Dean \(Research\) or Research and Research Training Officer](#).

### **AUSTRALIAN COMPETITIVE GRANTS REGISTER**

The grants listed on the ACGR are grants that have met criteria specified by the Department of Industry, Innovation, Science, Research and Tertiary Education (DIISRTE). In summary the grant schemes need to be: nationally competitive and for research only; available for allocation throughout Australia; and the budget for the scheme must be at least \$200,000 for the most recent year. Funding from grants listed on the ACGR determines the Research Infrastructure Block Grant (RIBG) allocation to the University. Therefore it is important that we fully utilise these schemes.

For a list of grants currently available click [here](#).

### *COMMONWEALTH RESEARCH FUNDING*

#### **AUSTRALIAN RESEARCH COUNCIL**

The ARC provides advice to the Government on research matters and manages the National Competitive Grants Program (NCGP), a significant component of Australia's investment in research and development.

Through the NCGP, the ARC supports the highest-quality fundamental and applied research and research training through national competition across all disciplines, with the exception of clinical medicine and dentistry.

Information about ARC grants is available from the [Research Services](#) website.

#### **NHMRC**

The NHMRC provides funding for all areas of research relevant to human health and wellbeing. The Project Grants Scheme is the NHMRC's main avenue of support for individuals and small teams of researchers undertaking biomedical, public health and health services research in Australian universities, medical schools, hospitals and other research institutions. Other funding mechanisms, including Program Grants, are also supported.

Information about NHMRC grants is available from the [Research Services](#) website.

### *RESEARCH BLOCK FUNDS*

The Department of Industry, Innovation, Science, Research and Tertiary Education (DIISRTE) - <http://www.innovation.gov.au/Research/ResearchBlockGrants/Pages/default.aspx> manages a range of programs to support research and research training in Australian Higher Education Providers (HEPs). Research block grants (RBG) are allocated according to performance based formula and are independent of funding for specific research projects, programs, or fellowships. HEPs have considerable autonomy in deciding what research projects, personnel, equipment and infrastructure this funding should support.

DIISRTE manages seven schemes to support research and research training in Australian HEPs:

- [Australian Postgraduate Awards \(APA\)](#)
- [International Postgraduate Research Scholarships \(IPRS\)](#)
- [Research Training Scheme \(RTS\)](#)
- [Commercialisation Training Scheme \(CTS\)](#)
- [Joint Research Engagement \(JRE\)](#)
- [Sustainable Research Excellence \(SRE\)](#)
- [Research Infrastructure Block Grants \(RIBG\)](#)

Most Research Block funds are distributed to Faculties using the same performance indicators. Faculties allocate the funding according to Faculty-specific criteria.

## DONATIONS FOR RESEARCH

### *THE UNIVERSITY OF NEWCASTLE FOUNDATION*

Donations to research can contribute to current work, help initiate research in an area that is important to the donor or can be made for an unspecified research purpose, which will go towards priority research conducted in the University.

For information on how to donate: <http://www.newcastle.edu.au/foundation/how-to-donate/>

### *POLICY AND PROCEDURES*

To ensure accountability, transparency and openness in all matters relating to donations, the University has developed a series of policies and procedures which have been adopted by the University Council.

This link provides access to the University's policies and procedures for donations to the University. <http://www.newcastle.edu.au/policy/000572.html>



## BUDGETING, COSTING AND PRICING

### *PREPARING YOUR BUDGET*

Many granting agencies have specific requirements regarding budget inclusions/exclusions and presentation. This can range from a simple description of how you will spend the Direct Costs to a full project cost which shows the contributions from the granting body, the University and any other contributors (both Direct and Indirect Costs). It is critical that these requirements are met to avoid a ruling of ineligibility. The University also has specific requirements regarding inclusion of overheads and verification of university funding.

### *COMPETITIVE NEUTRALITY*

In 1995, the Council of Australian Governments (COAG) implemented the recommendations of the report entitled National Competition Policy, commonly referred to as the 'Hilmer report'. One aspect of that agreement which has implications for the University is the application of the principles and practices of competitive neutrality.

This policy applies the principles of competitive neutrality to the University's businesses and other commercial activities (including contract research).

The principles of competitive neutrality require that the University's businesses and other commercial activities charge a competitive amount for their services, rather than a reduced price based on cost advantages that arise from being part of a large, government-funded institution. These cost advantages emerge from a range of sources, such as the University's tax-free status and shared infrastructure and resources funding, which typically underwrite the indirect costs of projects.

The costs that must be recognised in terms of CN principles include buildings and physical infrastructure, university-wide information technology, and other services, including insurance and financial management services. These costs will be recovered through an overhead levy to be charged on all externally funded commercial activities and contract research.

Complaints about failure to comply with competitive neutrality principles may be referred by the Premier to the Independent Pricing and Regulatory Tribunal of New South Wales.

### *DIRECT COSTS*

Direct Costs are paid from grant funds and enable researchers to undertake the project. They can include general and academic staff employed on a permanent or casual basis from the grant funds, equipment, consumables and other maintenance costs, travel and Researcher Higher Degree student stipends. These costs are readily identified as belonging to the project.

### *INDIRECT COSTS (OVERHEADS)*

The University must provide significant infrastructure for the support of research, including access to the University's computing systems; libraries; networked information retrieval facilities, physical accommodation; all risks insurance and professional indemnity insurance; animal and human ethics clearances; safety clearances; financial management and auditing; secretarial and administrative support and basic services such as power and telephones.

The University does not run an activity based costing system but bases costings at a rate that is consistent with overall usage. This is done as a percentage levy on each contract with due account being taken of the nature of the research activity on the project. The University has set this overheads charge at 15% of the contract income and recognises that this is low compared with total overheads costs.

The current overhead rate to be included in grants is as follows:

Faculty of Business and Law	15%
Faculty of Education and Arts	15%
Faculty of Engineering and Built Environment	15%
Faculty of Health	25%
Faculty of Science and Information Technology	25%

### **SALARIES AND ON-COSTS**

Not to be confused with overheads, salary and on-costs are compulsory costs incurred by the University in relation to staff salaries, and include such items as Workcover, superannuation, payroll tax and leave loadings under NSW law. The level of on-costs varies with the length and type of appointment.

Granting bodies may set a limit on the level of salary rates and on-costs that will be met. If this level is less than that of the University minimum the applicant is required to obtain School/Faculty funding to meet the shortfall prior to submitting the application. Refer to the funding body's current application guidelines for further details.

If the granting body does not provide guidance use the current [University of Newcastle Salary Rates and On-costs](#).

If you require information about the levels of duties for research staff refer to the [HEW level descriptors](#) or contact [Human Resource Services](#).

Please Note:

- Granting bodies often cap salary and salary on-costs at a lower rate that does not meet the requirements of the University of Newcastle Enterprise Agreement, which prescribes the salary rates to be paid at the University. Any short fall in funds is to be met from other sources or by reducing the period of employment.
- Consider and account for salary increments and Enterprise Bargaining Agreements awaiting endorsement and finalisation.

### **TEACHING RELIEF**

Teaching relief is occasionally accepted as a project cost, providing adequate justification is given. Previous successful cases to the ARC have been based on the researcher being physically removed from the institution for the purpose of conducting the research.

If a granting body does accept teaching relief as a project cost, follow their guidelines in respect of the amount and duration allowable and consult with your Head of School to determine School/Faculty policy.

### **GOODS AND SERVICES TAX (GST)**

Budgets in grant applications may also include GST. The granting body will usually provide instructions on how to treat GST. GST is not required for grants from overseas bodies, and some local granting bodies are exempt from paying GST and will include this in their guidelines e.g. Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) grants do not include GST. Grants from members of Philanthropy Australia are treated as gifts (Australian Tax Office ruling) and do not attract GST.

Where GST is applicable you need to add 10% to the grant total after adding any cost recovery amount to the Direct Costs.

## **SUBMITTING A RESEARCH GRANT APPLICATION**

### **LODGEMENT PROCESS FOR EXTERNAL GRANTS**

The Research Office is the only unit within the University authorised to submit on behalf of the University expressions of interest, preliminary proposals and full grant applications prepared by University researchers.

The Research Office sets an internal closing date for all advertised grants. This is usually at least ten days prior to the granting body's closing date, to allow time for checking, recording, contact with the first-named CI if the application is incomplete, signing by the DVC(R) or delegate and submission of the application.

Research Office closing dates for major external research grants (such as [ARC](#) and [NHMRC](#)) are available from the Research Services website.

In the first instance, the applicant must provide one draft copy of their application to the Research Office by the internal deadline. The Research Office will review the non-scientific aspects of the application, and provide feedback to the applicant. It is recommended that peer review also be sought through the Faculty's Assistant Dean (Research). The applicant then submits the final version (plus copies) of their application to the Research Office, and the Research Office submits the application to the granting body.

### **ARC LODGEMENT**

All new applications for ARC grants need to be prepared in the ARC's RMS system. Final reports and rejoinders for applications submitted in GAMS need to be completed and submitted in GAMS. To access either RMS or GAMS follow the instructions on the [ARC web site](#). For assistance on using RMS/GAMS please contact the Research Office on extension 15353.

Click [here](#) on 'How to set up an RMS Account'.

### **NHMRC LODGEMENT**

The Research Grants Management System, or RGMS is NHMRC's online system for lodging grant applications, managing the assessment of applications, and managing grants once awarded. RGMS has replaced Informed-Filler and NHMRC's former grants management system, RMIS (Research Management Information System).

Researchers use RGMS to lodge applications for all NHMRC funding schemes except NHMRC EU Collaborative Health Research Grants. Researchers who hold NHMRC grants will be able to manage their grants on-line using RGMS. All researchers involved in NHMRC's peer-review processes will also do this through RGMS.

Researchers need to populate the Profile and CV sections within RGMS and ensure it is kept up-to-date. RGMS automatically extracts relevant information into research funding applications. The CV can also be exported for other uses.

To access RGMS click [here](#).

### **SIGNATURES**

Most applications require the signature of Head of Institution/Organisation. At the University of Newcastle, this means the DVC(R) or delegate, Director, Research Services.

It is the responsibility of the first-named Chief Investigator to obtain the signatures of all co-investigators and the Head of School/Pro-Vice Chancellor and to make the appropriate number of copies.

## **RESEARCH AGREEMENTS**

There is a significant public interest in the proper acquittal of research activities, and a principle aspect of this public interest is that research activities are performed accountably and the monies spent accordingly. The principle vehicle for this accountability is via contract. Research activities conducted through the University are normally prescribed by a contract between the University and the grantor, and / or any other collaborators who will be involved in the research. This contract is called a research agreement.

There are generally two types of research agreement; sponsored research, and collaborative research.

**Sponsored research** is research performed by the University alone and funded by a grantor of funds. This research constitutes the majority of research activity at the University. It is frequently initiated by a research proposal and funds are usually (although not always) provided on a competitive basis.

**Collaborative research** involves research activities performed by multiple parties. It results from either a request from industry, government or semi-governmental bodies for a specified project to be undertaken with

identified aims and objectives, a research proposal on a competitive basis, or a jointly initiated project between the University and an industry, government or semi-governmental partner.

### ***REVIEW AND NEGOTIATION OF RESEARCH ARRANGEMENTS***

The most vital subject matters in a research agreement are the performance of the research obligations themselves, intellectual property in the research, publication rights, and the confidentiality of information. This subject matter may be negotiated between the parties on a case by case basis.

The ownership of intellectual property arising from the research may be contentiously negotiated. The University should usually aim to own the intellectual property arising from the research. The University should also expect to have rights to the results of any research undertaken for further research and teaching purposes and to publish outcomes.

An industry grantor or research partner will more often than not aim to commercially exploit final intellectual property arising from the project. If this is conceded, it should be permitted in return for a royalty to be paid to the University.

### ***SUBMITTING YOUR AGREEMENT TO THE RESEARCH OFFICE***

Usually, the grantor of sponsored research funds will want to provide its standard terms and conditions with its grant. Hence many notifications of award will be accompanied by a proposed research agreement. This proposed agreement must be forwarded to the Research Office to enable a review of its terms and conditions. The Research Contracts Officer will be in touch with the CI to seek their views on the vital subject matter. It is important that researchers read these terms and conditions because they will generally be drafted in terms that are favourable to the grantor but not necessarily the University. Where a proposed agreement is not provided, the [Research Contracts Officer](#) and the [Legal Unit](#) can provide its standard agreement.

### ***AUTHORITY TO ENTER INTO AND SIGN RESEARCH AGREEMENTS***

Only the DVC(R) has the authority on behalf of the University to enter into agreements with respect to research. After negotiation with other parties, and consultation with researchers, the Research Contracts Officer will forward the research agreement to the DVC(R) with a recommendation for signature.

The DVC(R)'s authority extends to other types of contracts associated with research, which includes contracts that deal in intellectual property, contracts that deal in the transfer of research materials (material transfer agreements), and confidentiality agreements.

### ***REVIEW OF PROPOSED FUNDING CONTRACT/CONDITIONS OF AWARD***

The DVC(R) requires that any proposed research contracts or agreements be referred to the Research Office and be reviewed by a the Research Contracts Officer or a Legal Officer in the University Legal Unit. This is to ensure that the interests of the University and the researchers are protected. The Officer will negotiate with the funding body for amendments to the agreement if necessary. Insurance, indemnity, overheads expenses, ownership of intellectual property rights and protection of the rights of researchers to publish their results are examples of the issues that sometimes require negotiation.

Alternatively, the Research Contracts Officer and Legal Unit staff can prepare a research agreement, based on the University's standard form of contract, which can be adapted to meet the needs of the particular project.

Research Office and the Legal Unit should also be consulted about other research-related legal issues, including Intellectual Property Agreements, Material Transfer Agreements, and research student Scholarship Agreements.

Consultancy work that is undertaken through Newcastle Innovation will be reviewed by the Chief Executive Officer of Newcastle Innovation to ensure that the agreement is acceptable. The terms of the agreement or contract must include overhead charges to compensate for the use of University resources, in accordance with the University's Policy on Consultancy.



If you have any inquiries with regard to research contracts or agreements, please contact the [Research Contracts Officer](#) or your [Faculty consultant in the Legal Unit](#).

#### ***DOCUMENTATION/CORRESPONDENCE REGARDING THE RESEARCH GRANT***

A University file is created for each research grant. The purpose of this file is to maintain a formal record for the grant, including any queries or correspondence. It is therefore requested that recipients direct any correspondence to the grant body through the Research Office so that this file can be kept current.

The contents of the file may be accessed by the Chief Investigator (CI) by arrangement with the Research Office, please contact the [Research Office Grants Team](#).

## **ADMINISTERING RESEARCH FUNDS**

### ***ACCOUNT FOR RESEARCH GRANT MONIES***

Once the Research Office holds all relevant documentation and the grant has been formally accepted by the DVC(R), the Research Office will co-ordinate the establishing of a research account in which the grant funds will be deposited. The [Research Accounting Team in Financial Services](#) will then inform the first-named CI of the cost collector.

If you have any inquiries with regard to invoicing, income, expenditure, balance, or any aspect of the daily financial management of your project, please contact your [Faculty Research Accounting Team Member in Financial Services](#).

In most cases it is possible to carry-forward unspent external project funds from one year to the next. Each funding body has different conditions and processes for this. If you need to carry-forward funds, please contact the [Research Office Grant Team](#) for advice.

If you are unsure whether money can properly be spent from your grant on a particular item, or have any questions about your grant conditions in general, please seek advice from the Research Office Grant Team.

### ***ACCOUNTABILITY AND RESPONSIBILITIES OF FIRST-NAMED CHIEF INVESTIGATOR***

The first-named CI has overall responsibility for the management of the research project, including expenditure of the grant, meeting ethics and safety requirements and compliance with the Australian Code for the Responsible Conduct of Research and related University policies and procedures.

Expenditure of the grant, including employing staff or purchasing goods and services, is at the direction of the first-named CI. Grant funds must be spent on the items that were described in the application budget or must be within an acceptable variation to the budget and must comply with any conditions or restrictions on expenditure in the Contract or Agreement. In particular, the first-named CI is held responsible for the successful outcome of the research project, meeting any project milestones that might be set under the contract and for appropriate expenditure of the funds.

### ***CHIEF INVESTIGATOR NO LONGER WORKING ON THE PROJECT***

If at any time during the term for which an external or internal grant or contract has been awarded a named CI ceases to be a member of the University (should they, for example, resign or take extended leave), immediate notification should be given to the Research Office by the researcher's department. The Research Office will assist in notifying the sponsor and setting in place any alternative arrangements that may be required.

## ***EMPLOYING STAFF***

### **[Research Staff Appointment Criteria](#)**

The process to appoint a member of staff who is recruited solely to work on a research project funded by non-operating funds needs to provide for the unique circumstances relating to the funding source, and the funding conditions attached.

Comprehensive information regarding recruitment should be viewed at:

<http://www.newcastle.edu.au/unit/hrs/recruit/index.html>

## ***SALARY COSTS, INCLUDING ONCOSTS***

Research grant applications must quote the salary rates that will be applicable in the grant year and include all relevant on-costs. For further information click on the link/s below:

- **[General Staff](#)**
- **[Academic Staff](#)**

## ***EQUIPMENT/CAPITAL***

Unless otherwise specified by the granting body, ownership of all equipment purchased with research funds shall vest in the University of Newcastle. Accordingly, University policies with respect to assets apply. It should be noted that some granting bodies specifically state in the Conditions of Award that funds are not to be used for the purchase of equipment.

Capital is any item of equipment that has a purchase cost over \$1,000. Internal funds can only be used for capital purchases where the item(s) are listed as "Approved Capital" in the award letter or approval is sought from the Associate Director, Research Grants and Infrastructure, Research Services prior to the purchase of the item(s). If the invoice cost of the approved capital item(s) is less than that of the approved capital funds, the surplus will revert to internal funding for reallocation. Equipment must be purchased within the same calendar year of the internal grant being awarded.

## ***ETHICS/SAFETY REQUIREMENTS***

The University is obliged to ensure that, prior to the commencement of any research that requires clearances; researchers obtain all relevant Animal and Human Ethics and Safety clearances. A Cost Collector (account number) for the grant will not be established until all relevant clearances have been obtained. If you have indicated in your application that clearances are required, you need to be mindful of the approval process and requirements.

## ***EARLY RELEASE OF FUNDS***

The University is obliged to ensure that, prior to the commencement of any research that requires clearances; researchers obtain all relevant Animal Ethics, Human Ethics and Safety Clearances. A cost collector for the grant will not be established until all relevant clearances have been obtained. If you require the early release of fund (e.g. to commence scholarships payments) prior to obtaining clearances you should email a detailed request to [Judy Alexander](#), Associate Director, Research Grants and Infrastructure, Research Services.

## ***HONORARY APPOINTMENT***

The purpose of an honorary appointment is to ensure the University is able to maximise the academic and professional talent in the broader community so as to enrich the student experience and advance the University's Research and Teaching and Learning objectives.

Such appointments also acknowledge the extensive contribution to teaching, research, academic programs, and professional leadership that persons who are not employed by the University make to its every day operation. The University confers an honorary academic title on such persons to recognise the existence of a collaborative relationship.

Further details can be found in the [University's Honorary Appointments Policy](#). This policy is supported by [Appointment of Conjoint Guidelines](#) and [Visiting Appointment Guidelines](#), which outline the process of appointment.

The provisions of these policies cover the following categories:

- Conjoint Appointments - appointment of a person who is not employed by the University of Newcastle and who makes a significant contribution to the teaching, research and academic activities of the University without remuneration in the form of salary; and
- Visiting Appointments - appointment of an academic who is invited from an interstate or overseas institution to contribute to the academic activities of the University without remuneration in the form of salary.

### ***INVOICING EXTERNAL PARTIES***

Collaborative projects can involve a commitment from an external party to provide funds to the University. It is the responsibility of the first-named CI to make arrangements with the [Research Accounting Team](#) for invoicing of external partners who have agreed to contribute funds to the project.

It is vital that these funds are invoiced and are received by the University - they affect not only direct project funding but they also count towards the School's total research income and related performance-based funding. Moreover, in the case of some grants, for example ARC Linkage-Projects, such payments are a condition of award and the ARC has the right to withdraw its grant if the industry funds are not received (the University is required to report to the ARC on those funds, project by project).

### ***PURCHASING***

All University staff who commit or incur expenditure against any funds administered by the University are accountable for such expenditure and have a general responsibility for the exercise of due economy.

All purchases must be for the official use of the University and not involve requirements for personal use.

Reference should be made to the University's [procurement policy and procedures](#).

Researchers are advised to contact their School/Centre Executive Officer to seek advice on School/Centre procedures for the purchase of goods, services and consultancy.

### ***RESEARCH SCHOLARSHIPS***

A research scholarship may be established using funding from Faculty or research grants, including ARC Linkage projects where approved by the ARC. Scholarships are administered by the [Office of Graduate Studies](#). Reference should be made to [Scholarship information](#) for academic staff.

### ***TRAVEL***

The University of Newcastle recognises that travel is often an integral part of the work of the staff and students of the University. Staff should ensure they are familiar with the University's [Travel policy and procedures](#).

### ***TRANSFER TO/FROM OTHER INSTITUTION***

Investigators should advise the Research Office as soon as they know they will be transferring a grant or contract to or from the University, even if the transfer will not take place for a number of months. The provision of the documentation (for transfers to the University this includes a copy of application, notification of award and other relevant correspondence from the sponsor) and all ethical review approvals ahead of the transfer date will enable a prompt transfer of the research funds at the appropriate time.

## **ETHICS REVIEW AND APPROVAL**

### ***RESEARCH INVOLVING HUMAN PARTICIPANTS***

All human research projects conducted at the University or by staff and students of the University require approval from the [University's Human Research Ethics Committee](#) (HREC) before the research can commence. The HREC has responsibility for reviewing the research and ensuring compliance with regulatory and legislative requirements. For this, the HREC relies on the [National Statement on Ethical Conduct in Human Research](#) (2007) and relevant University policies and guidelines. The primary aim is the protection of the welfare and rights of human participants in research. This process is binding on all institutions and organisations that receive research funding from the Australian government.

**For information on application procedures click [here](#).**

### **LEVELS OF RISK**

The University of Newcastle uses a risk-based system of application and for reviewing purposes for Human Ethics. The HREC applies a hierarchical level of review to applications for ethics approval. This recognises the differentials in the possible risks to research participants and the possibility of managing risks in the design of a research protocol. Risk is the potential for harm - physical, psychological, social, economic, or legal - or the potential to cause people to think they have been treated disrespectfully.

There are 3 levels of application. An expedited review process is provided for the two most commonly used, Levels 1 and 2. A National Ethics Application Form (NEAF) is required for all Level 3 applications and recommended for multi-site research.

### **REVIEW PROCESS**

Level 1 and Level 2 applications are considered by a HREC panel and do not need to go to a HREC meeting for review. Level 1 applications are reviewed by a Human Research Ethics Officer and the Chair or Deputy Chair of the HREC. Level 3 applications require full review by the Human Research Ethics Committee and are to be submitted by the last working day of the month preceding each meeting. Please refer to <http://www.newcastle.edu.au/service/human-ethics/application-procedures/submission-dates-and-response-times.html> for submission dates and response times. For all levels of review, the HREC's decision is communicated to the researcher electronically.

### **RESEARCH ETHICS ADVISORS**

Research Ethics Advisors (REAs) are the first 'port-of-call' for researchers requiring assistance or advice on human research ethics matters. REAs are located at the School/Faculty level to provide local support to researchers, both staff and students, to design ethically acceptable human research and assist them through the ethics approval process. REAs also conduct educational seminars in their Faculties on human research ethics at least annually.

For further information, refer to: <http://www.newcastle.edu.au/research/research-services/human-ethics/research-ethics-advisors.html>.

### **COMPLAINTS AND APPEALS CONCERNING COMMITTEE DECISION OR ETHICS ADMINISTRATION**

If a researcher wishes to appeal the decision of the ethics committee about their research project or express concerns about the ethics administration process, the researcher may lodge a written request with the Human Research Ethics Officer for reconsideration of a decision of the HREC within 14 working days of the date of the notification of the decision. The request must outline the reasons for the request and the evidence upon which the request is based.

Details of other steps in the complaints and appeals procedures are available from the Human Research [Ethics team](#).

### **COMPLAINTS ABOUT THE RESEARCH OR RESEARCHERS**

The National Statement on Ethical Conduct in Human Research (2007) requires that the contact details of a person nominated by the HREC are provided to ensure the institution can receive complaints about researchers or the conduct of the research. To achieve this, the University requires researchers to include specifically worded advice in information sheets provided to participants.

Download the text for the Standard Complaints Statement that should be inserted into Participant Information Statements from the Information Statement – Sample Content document: click [here](#) for further information on the Information Statements and Consent Forms.

Contact details for the researchers should also be included to enable follow up of queries relating to the research.

Complaints or concerns relating to the ethical aspects of a research study should be directed to [human-ethics@newcastle.edu.au](mailto:human-ethics@newcastle.edu.au) in the first instance.

### *POLICY AND GUIDELINES*

This link provides access to [Human Ethics related policy and guideline documents](#).

## **RESEARCH INVOLVING ANIMALS**

### *EXPERIMENTATION, ETHICS AND ANIMAL WELFARE*

The use of animals for research or teaching purposes must meet the requirements of the NSW Animal Research Act, NSW Animal Research Regulation, and the Australian Code of Practice for the Care and Use of Animals for Scientific Purposes (enacted under the Act). The legislation embodies the principles of reduction in the number of animals used, replacement of animals with non-animal alternatives, and refinement of techniques and procedures to reduce the impact on animals.

The University of Newcastle [ACEC](#) has been established under the NSW legislation, to oversee the care and use of animals in research and teaching at the University of Newcastle, the Hunter Area Health Service and several other accredited research establishments. Before any vertebrate animal can be used for research or teaching purposes, the investigator must obtain approval from the ACEC.

Investigators who use animals for research or teaching purposes have a personal responsibility for all matters relating to the welfare of the animals they use. This responsibility embraces a duty of care which demands a genuine commitment to the welfare of the animals, a respect for the contribution the animals make to research and teaching, and a desire to promote the animals' wellbeing.

### *OBTAINING APPROVAL AND APPLICATION PROCEDURES*

Approval must be obtained from the ACEC before animals are used for research and teaching purposes. Application for approval for the use of animals is made to the ACEC using the prescribed application forms.

This [link](#) provides access to Animal Ethics application forms and guidelines, other forms and pro forma documents, useful information for completion of the forms, instructions for submissions and meeting dates.

Assistance with completing applications to the Animal Care and Ethics Committee can be obtained from:

1. Animal Welfare and Training Unit
2. Animal Ethics Officer
3. Faculty Animal Ethics Advisors

For contact information please refer to the [Assistance With Your Project](#) on the Animal Ethics webpage.

### *TRAINING*

NSW Legislation requires researchers and teachers who use animals to be competent in the procedures they perform, or be under the direct supervision of a person competent in the procedure. In addition, they must use the best available scientific and educational techniques. The training and technical ability of researchers and teachers is critical in minimising pain, distress and suffering in the animals they use.

The Animal Welfare and Training Unit conducts training to provide researchers with the knowledge and skills to ensure compliance with legislation, humane and ethical animal use and minimisation of risks associated with the use of animals. The [Research Animal Training Scheme \(RATS\)](#) consists of a series of online modules, seminars and practical workshops and has been developed to provide researchers and teachers with the underpinning knowledge and practical skills needed to conduct humane animal research.

Details about the RATS program and information regarding registration are available from the Animal Welfare and Training Unit website at [RATS Program](#).

### **ANIMAL WELFARE CONCERNS**

The Animal Research legislation specifies "Institutions which use animals for scientific purposes including teaching must establish mechanisms to respond to enquiries or complaints concerning the use of animals within the institution and ensure that staff may voice concerns without jeopardising their employment."

If you are concerned about the welfare or treatment of an animal used for research or teaching purposes, you should in the first instance raise your concerns with either:

- the manager of the animal facility if the animal is being held in an animal facility or animal holding area; or
- the Chief Investigator (CI) of the project if the animal is being used as part of a research or teaching project.

If for some reason you cannot or do not wish to raise your concerns with the animal facility manager or CI of the project, or if you are not satisfied with the response from the relevant person, you may raise your concerns with contacts found at: <http://www.newcastle.edu.au/unit/animal-welfare-training/concerns-about-animal-welfare.html>

Your complaint or concern may be oral or in writing.

The ultimate goal in the consideration of concerns is to ensure the welfare of animals. Please be assured that confidentiality will be maintained to the extent possible within the requirements of a fair investigation and resolution of complaints. All complaints will be taken seriously and will be dealt with promptly.



The ACEC has formal grievance procedures for the investigation of both oral and written complaints or concerns regarding the use of animals for research or teaching purposes.

### **POLICY AND GUIDELINES**

This [link](#) provides access to Animal Ethics related legislation, policy and guideline documents.

## **SAFETY AND RISK MANAGEMENT**

The University of Newcastle is committed to providing an environment that maintains the health and safety of its staff, students and visitors. This commitment is expressed in its [Occupational Health and Safety Policy](#).

As an international research and educational institution this University has achieved international recognition for its environmental initiatives. Good health and safety practice should form an integral part of each activity at the University, whether it involves teaching, research or administrative functions.

### **OHS ROLES AND RESPONSIBILITIES**

Everyone with a supervisory role, including CIs on research projects, has a responsibility to ensure safe working conditions are maintained. Supervisors have special responsibilities to model appropriate behaviours in relation to OH&S, and develop responsible attitudes to OH&S matters in their staff and students.

Each supervisor must provide information, training and appropriate supervision to all people in their area of responsibility. In particular, supervisors should ensure that employees and students have completed documented training in:

- All potentially hazardous conditions associated with any operation and the method established to control them;
- All safety legislation and standards applying to the area of operation;
- University OH&S policies, procedures and programs that relate to the task;
- Risk controls in place for specific hazards, such as personal protective equipment and administrative controls with regard to documented safe working practices.

Supervisors must ensure that any incidents, accidents, “near misses” or specific safety hazards are identified, assessed, controlled, and reported, in accordance with the University’s Health & Safety procedures. Supervisors must also ensure that immediately following an incident, steps are taken to render the situation/environment safe, and an incident follow up and corrective action is undertaken.

Supervisors of students undertaking tasks such as coursework, fieldwork, site visits, industry placements or industrial experience have an additional responsibility:

- To carry out a full risk assessment;
- For hazard identification, minimisation and management
- To develop a safe operating procedure with contingencies;
- To obtain necessary approvals;
- To lodge the risk assessment with the nominated school officer; and
- To determine any external OH&S policy associated with the worksite and ensure compliance with it.

This [link](#) provides access to guidelines for Roles and Responsibilities within Occupational Health and Safety.

### **SAFETY REQUIREMENTS**

To comply with the NSW Occupational Health and Safety Act, 2000, the University requires all members of staff responsible for research projects (CIs, Supervising Academics) which have safety implications, to complete an application for safety clearance for each project they are directing. All activities with safety implications must have the appropriate safety clearance(s) before commencing.

For funded research the risk assessment process begins with the completion of the [Grant Establishment form](#), which is the first step in the processing of research grant awards.

On these forms the CI is asked to indicate if the project may introduce one or more specific hazards into a workplace. If they answer 'Yes' to these questions, the relevant [Safety Review Application Form](#) must be completed and submitted, along with the grant application and supporting documentation, to the Health and Safety Team.

### **RESEARCH HAZARD IDENTIFICATION**

The Safety Review Application Form R2 Form asks for more detail about the hazards that have been identified, and how the risks associated with them are to be controlled.

- An Assessment Matrix has been provided for your use, please [click here](#) for a copy.
- For detailed training on Health and Safety Risk Assessments please [click here](#).

### **SAFETY CLEARANCES**

Safety Clearance must be obtained from Health Safety and Environment (HSE) before any research activity where hazards have been identified may commence.

The [Institutional Biosafety Committee \(IBC\)](#) assists the University of Newcastle to meet the legislative requirements of the Gene Technology Act 2000, as well as monitoring microbiological practice against Australian Standards and other aspects of biosafety related to research, particularly in the life sciences.

- [Implications for Research under the Gene Technology Act and Regulations](#) - pdf

The [Chemical & Radiation Technical Sub Committee](#) assists the University of Newcastle to meet the legislative requirements of the [OH&S Regulation 2001](#), Chapter 6 Hazardous Substances and [Radiation Control Act \(NSW\) 1990](#) and its Regulations; and provides support and advice to staff.

This [link](#) provides access to HSE application forms which contain useful information for completion of the forms, instructions for submissions and meeting dates.

### **TRAINING**

The CI/Responsible Academic for a project has the responsibility to ensure that all personnel involved with the research are trained to perform the activity safely and that Laboratory Inductions are completed and recorded. The [ELMO On-Line](#) training in Laboratory Safety provides a range of information about safety in the laboratory.

### **GENETICALLY MODIFIED ORGANISMS**

All research involving genetically modified organisms (GMO's) must receive safety approval prior to work commencing and is assessed by the [Institutional Biosafety Committee \(IBC\)](#) prior to the application being approved. Research involving GMOs will require completion of additional application forms as required by the [Office of the Gene Technology Regulator \(OGTR\)](#).

### **RADIATION SAFETY**

This UoN Radiation Safety Manual is intended as a guide to those staff and students involved either directly or indirectly with the use of radioisotopes, ionising radiation and non-ionising radiation in research and teaching. The manual provides general information and guidelines on the recommended approaches to the use of radiation in research as well as information on some specific applications and regulations for the disposal of waste and emergency procedures.

### **AQIS – PURCHASE OF BIOLOGICAL MATERIALS AND QUARANTINE**

The Australian Quarantine and Inspection Service (AQIS) manages quarantine controls at our borders to minimise the risk of exotic pests and diseases entering the country. AQIS also provides import and export inspection and certification to help retain Australia's highly favourable animal, plant and human health status and wide access to overseas export markets

### **INFECTION CONTROL POLICY**

This [link](#) provides access to the University's guidelines for infection prevention and control for blood/body substance transmitted pathogens.

### **MANUALS AND HANDOUTS**

This [link](#) provides access to Manuals and Handouts associated with OHS.

### **POLICY, PROCEDURES AND GUIDELINES**

This [link](#) provides access to the University's OHS suite of policies, procedures and guidelines within the University Policy Library.

### **PROJECTS INVOLVING ETHICAL AND SAFETY CLEARANCES**

All projects involving OH&S, human participants and/or animal based research, must have the necessary review(s) and approval(s) before sensitive work commences on the project, regardless of whether the project is being administered by Newcastle Innovation or Research Services.

## **INSURANCE**

Insurance is managed within the Risk and Assurance Services Team of the University. The University carefully manages its insurance policies to protect its people, assets and activities. Insurance is one of the tools available to the University to manage risks that it faces in running an educational institution.

### ***INSURANCE POLICIES***

The following is a list of some of the University insurance policies which could have relevance to the University's Research activities.

- Industrial Special Risk (Property & Business Interruption)
- Combined Liability (Public & Products Liability)
- Professional Indemnity
- Medical Malpractice
- Clinical Trials
- Directors & Officers Liability
- Personal Accident - Corporate Travel
- Motor Vehicle
- Marine Transit
- Workers Compensation

This [link](#) provides access to relevant University insurance policies and information regarding the following:

- Corporate Travel Insurance whilst travelling overseas to conduct research
- Request by external organisation to provide proof of insurance when applying for research grants or when research is being conducted offsite
- Using University vehicles and what to do in the event of an accident
- Clinical Trials insurance
- Damage to University equipment
- Key contacts within the Risk Management Unit.

NB: It is imperative that any knowledge of an event which may give rise to a claim be reported to the Risk and Assurances Team.

## **REPORTING ON RESEARCH GRANT OUTCOMES**

### ***UNIVERSITY OF NEWCASTLE RESEARCH GRANTS***

All researchers who are awarded an internal grant are required to submit a report in accordance with the Conditions under which the award was made. The completed report is required to be signed by the first-named CI, and a copy made available to collaborators.

The University of Newcastle [Internal Grant Report Form](#) should be used for all progress and final reports on internally funded grants.

### ***EXTERNAL GRANTS***

The first-named CI is responsible for providing all technical, progress and final reports in accordance with the granting body's prescribed due dates, and in the format required by the granting body.

An automated reminder email, generated by Callista Research, is sent to the first-named CI one month before the prescribed due date.

ARC Progress and Financial Reporting

This [link](#) provides information in relation to reporting of ARC grants.

If you are unsure about your reporting responsibilities, please seek advice from the [Research Office Grant Team](#).

### ***COMMUNICATION PROTOCOLS***

It is important that researchers are aware of relevant communication protocols. Some granting bodies have particular communication and reporting requirements and it is important that these are understood. In general researchers should:

- Consult with stakeholders prior to speaking to the media, to ensure that confidentiality is not breached
- Only speak in their area of expertise
- Only speak about findings after they have been through a peer-review process

Media training is available through [HRonline](#). Assistance with media liaison including media releases is available through the [Media and Public Relations team](#).

## RHD SUPPORT AND SUPERVISION

The Office of Graduate Studies provides a consolidated university focus on postgraduate studies, in order to support the delivery of quality programs and services to our research higher degree candidates. The Office is responsible for the overall administration of RHD candidature and research scholarships.

The Office is responsible for the overall administration of [RHD candidature](#) including:

- Application
- Admission
- Enrolment
- Induction
- Academic progress
- Examination of thesis
- 

The Office of Graduate Studies administers [research scholarships](#) including:

- Scholarship applications
- Conditions
- Payment of stipend
- Thesis allowance and other benefits

### **SERVICES AND SUPPORT**

In addition to being responsible for the overall administration of RHD candidature and scholarships, the Office of Graduate Studies is responsible for coordinating the following activities for [research higher degree candidates](#):

- [Progress Reports](#)
- [Laptop distribution](#)
- [Confirmation Year](#)
- [Seminar series for candidates and supervisors](#)
- [Jointly Awarded Degrees](#)
- [Vice-Chancellor's Award for Supervision Excellence](#)

### **POLICIES AND GUIDELINES**

The Office of Graduate Studies is responsible for developing and maintaining the key policies and guidelines that pertain to Research Higher Degrees. The key policies are all available from the web at: <http://www.newcastle.edu.au/students/research-higher-degree/policies-guidelines/>.

In particular, supervisors should be informed of the following policies:

[Code of Practice for Research Higher Degree Candidature](#)

[Australian Code for the Responsible Conduct of Research](#)

[Rules Governing Research Higher Degrees](#)

### **REGISTER OF SUPERVISORS**

The [Register of Supervisors](#) allows prospective research higher degree applicants to search for a supervisor. The register draws its information from Research Portfolio Manager and allows supervisors to provide information on their research areas, teaching, funding and opportunities for RHD students.

### ***SUPERVISOR TRAINING***

The Office of Graduate Studies, in conjunction with Organisational Development, organises training in various aspects of RHD supervision. Details of sessions are listed on the web at: <http://www.newcastle.edu.au/students/research-higher-degree/supervision/>

Contact the Office of Graduate Studies with any questions regarding research higher degrees.

## **RESEARCH SUPPORT SERVICES**

### ***ANALYTICAL AND BIOMOLECULAR RESEARCH FACILITY (ABRF)***

The Analytical and Biomolecular Research Facility (ABRF) is part of the centrally funded Research Support Unit and is comprised of the [Advanced Mass Spectrometry Unit](#) and the [Biological Mass Spectrometry Unit](#), both located in the Life Sciences Building. In 2007 the University formed the [ABRF Advisory Group](#) and the [Electron Microscope and X-Ray \(EMX\) Advisory Group](#) which are responsible for developing overarching strategic plans for the ABRF and the EMX, including items such as potential ARC LIEF and University equipment applications.



### ***ANIMAL SERVICES UNIT (ASU)***

The University of Newcastle Animal Services Unit provides animal breeding and holding facilities for researchers approved to use animals under the Animal Research Act (NSW). These facilities are located on the University of Newcastle campus, within the David Maddison Building and on the John Hunter Hospital campus. The facilities include specific pathogen free breeding and holding facilities, conventional animal holding, large animal yards, and PC2 containment holding for genetically modified animals and animals carrying human pathogens.

Animal Services Unit Staff are committed to the welfare of the animals under their care and strive to provide the best possible environment for the research animal within the constraints of the approved research project.

### ***ELECTRON MICROSCOPE & X-RAY UNIT***

The Electron Microscope / X-Ray Unit provides a service to all university departments and a consulting service to external clients. The unit has facilities for Transmission Electron Microscopy (TEM), Scanning Electron Microscopy (SEM) with Energy Dispersive Spectroscopy (EDS), X-ray Diffraction (XRD) and X-ray Fluorescence Spectroscopy (XRF). Long term users are trained to use the equipment; occasional jobs are undertaken by unit staff for the researcher.

## **RESEARCH COMPUTING SUPPORT (ARCS)**

The Academic and Research Computing Services (ARCS) team provides University Research Computing Services and support for customised IT solutions used by Researchers and RHD Students.

Standard IT Services such as standard desktop computers, email and user home drives are supported by the wider IT Services division. ARCS is a delivery team within IT Services that has been established specifically to address the customised computing needs of the University Research community.

ARCS services can be divided into four categories:

- University Research Computing Services
- National and State Research Computing Services
- Consulting & Advice
- Remedial Support

## **UNIVERSITY RESEARCH COMPUTING SERVICES**

ARCS provides a number of computing based services designed specifically for Researchers. These include:

- Linux and Windows Grid Computing
- Research Software Licensing and Media (E.g. Matlab, Maple, LabView, SAS)
- Hosting of Research Computing Systems in University Computer Rooms
- Collaboration Workspaces
- Research Websites

## **NATIONAL AND STATE RESEARCH COMPUTING SERVICES**

The University of Newcastle participates in a number of National and State based Research Services. These services range from High Performance Computing (HPC) to data sharing and large file transfer facilities. The Universities participation provides access to these services by University staff, in some cases at no additional cost to the researcher or research group. ARCS can facilitate access to these services from assistance with application form completion to instruction on how to load code and transfer data. Examples of these National and State Services include:

- NCI (National Computing Infrastructure) High Performance Computing Grid
- McLaren. The Intersect Based High Performance computing Grid.
- Data Fabric. National Data sharing Facility
- EVO - Video Conferencing
- Access Grid - Video Conferencing
- Cloudstor. AARNET Large File Transfer Service.
- New Services are coming online in the 2011 to 2013 timeframe through two federally funded projects: Research Data Storage Infrastructure (RDSI); and the National eResearch Collaboration Tools and Resources (NeCTAR).

## **CONSULTING & ADVICE**

ARCS deals with a variety of Researchers and Research Groups throughout the University and actively engages in National and Inter-University bodies. This provides ARCS with a comprehensive understanding of the various Research Computing Solutions used within the sector. Combined with the detailed knowledge of University IT Services, ARCS is well placed to advise University Researchers on how best to address their computing requirements.

If a custom solution is to be built, ARCS can take that Research Solution from conception to run. ARCS uses its IT expertise to design, cost, build and provide ongoing management/support of Research Group funded computing infrastructure including:

- Research group specific High Performance Data Processing from Grids to Multiprocessor Servers
- High Performance Workstations and Laptops
- Peripherals (Plotters, Cameras, RAID, NAS, etc.)
- Data Storage, Backup, Sharing & Transfer

- Scientific Instruments - Computing Integration and Support for Network connectivity, Patching, AntiVirus and Data Transfer.
- Data & Image Conversion
  - Conversion of data from one OS format to Another
  - Converting images from tiff to Jpegs etc.
  - Provide Tools and or compilers

### **REMEDIAL SUPPORT**

ARCS provides remediation services for computing infrastructure that is under manufacturers warranty and has been customised to meet Research needs. This includes the type of Research Solutions listed under Consulting & Advice section in addition to some special case scenarios such as PCs connected to instruments (due to the costs involved in upgrading these Instrument provided systems).

ARCS will use its own IT expertise, the wider IT services division capability and collaboration with the respective vendors to resolve hardware and packaged software faults.

### **CONTACTING THE ARCS TEAM**

To engage the ARCS team in relation to any of the services listed please contact the 17000 Service Desk via:

Phone: Extension 17 000 or (02) 492 17000

Web: <http://www.newcastle.edu.au/17000>

Further detail to ARCS Services can also be found at [www.newcastle.edu.au/service/eresearch](http://www.newcastle.edu.au/service/eresearch)

## **LIBRARY**

The University of Newcastle Library is central to the University's academic and community endeavour, operating across four locations (Callaghan, Newcastle City, Ourimbah, and Port Macquarie, with a presence at the PSB Campus Library), as well as a rapidly expanding online environment. The Library is committed to supporting flexible and online delivery, with systems to ensure that students located remotely and internationally can readily access information resources, learning support and information literacy services.

Click [here](#) for more information including phone numbers, locations and opening hours.

### **BORROWING**

All current students and staff (including conjoints, affiliates and visiting academics) of the University have borrowing rights at University Libraries.

- For students your student card is also your Library borrowing card. Postgraduate by Research students may borrow a maximum of 50 items (this includes up to 6 journals), with a loan period of 12 weeks.
- All staff categories – please refer to the information at the site [Borrowing information for all users of the University's Libraries](#)

### **RESEARCH DATABASES**

The University Library subscribes to over 300 online databases indexing scholarly information from journals, books, conferences, research reports, theses, etc. Many are subject specific, indexing scholarly information in just one discipline, whilst others are multidisciplinary, indexing resources across a range of disciplines.

All research databases provide bibliographic details and abstracts for indexed resources, with many also including the full-text of documents within the databases.

The Library's online resources are accessible by current University staff and students from any location around the world 24 hours a day, with access authenticated by student/staff number and a Library PIN created by each user.

## ***BIBLIOMETRIC DATABASES***

The University Library subscribes to the major bibliometric indexes, including:

- Web of Science – includes the 3 ISI Citation indexes (Science Citation Index 1956+, Social Sciences Citation Index 1956+, and Arts and Humanities Citation Index 1975+)
- Scopus – indexes approximately 15,000 international sources (mainly peer reviewed journals). Includes citation analysis for indexed resources.
- Journal Citation Reports – provides impact factor, immediacy index, and citation and article counts for approx 9,000 international journals.

Each of these databases can be accessed via the [alphabetical list of databases](#).

## ***FULL TEXT JOURNALS AND BOOK COLLECTIONS***

Over 60,000 journals are subscribed to in online format by the University Library including journal sets by many of the large publishers, such as American Chemical Society, Blackwells, CSIRO, Elsevier, IEEE, Springer, Taylor & Francis.

In addition the Library subscribes to thousands of online book titles from major publishers including McGraw Hill, CRC Press, Elsevier, Oxford.

All online journals and books can be accessed via individual title entries in [NEWCAT](#) (The University Library catalogue).

## ***RECIPROCAL AGREEMENTS***

All staff and students of the University are able to request books online from the Libraries of Deakin University, Murdoch University, the University of Ballarat, the University of Melbourne and the University of Technology, Sydney via the [BONUS catalogue](#).

The University of Newcastle is also a member of [University Library Australia \(ULA\) - National Borrowing Scheme](#) for staff and students. This agreement permits borrowing of resource from any University Library in Australia.

## ***INTER-LIBRARY LOANS***

Postgraduate students and staff may request the loan of books, and copies of articles, papers etc not held by University of Newcastle Libraries via the Library's [inter-library loans system](#), Get-It.

## ***ENDNOTE***

EndNote is bibliographic software which assists in the recording and organizing of personal databases of references to books, journal articles, papers and other publications, as well as the creation and automatic formatting of citations and bibliographies in Microsoft Word documents.

EndNote is free for all current staff and students, and can be downloaded from the EndNote website or borrowed on CDROM from the Libraries.

- [EndNote website](#).
- [EndNote Tutorial](#)

## ***FACULTY LIBRARIAN***

A [Faculty Librarian](#) is assigned to each Faculty within the University; and is assisted by a team of Information Services professionals.

The Faculty Librarian has responsibility for ensuring the information needs of staff and students of the Faculty are met. They are subject information specialists and can advise on the best strategies for efficient and effective information access including advice on literature searches and research techniques.

## ***ONLINE REFERENCE SERVICE***

The Library's online reference and information service, [ASAPInfo](#) provides assistance with Library database access, instruction and use, search strategies, identifying and locating information resources, and general library queries or comments.

The *ASAPInfo* services operates on a 24/7 basis, with requests answered around the clock by staff located in the Auchmuty Library's Information Common.

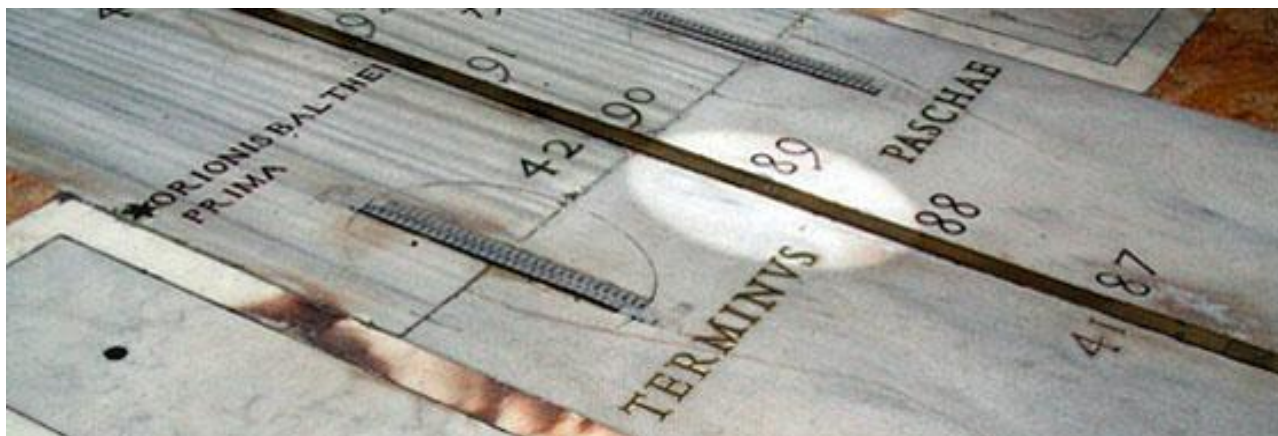
### **[NOVA: THE UNIVERSITY OF NEWCASTLE'S DIGITAL REPOSITORY](#)**

NOVA is the University of Newcastle's institutional digital repository. This service is available to assist with central storage, management and access to research and research related outputs and resources of the University of Newcastle, its staff, students and affiliates.

A major feature of the repository is its ability to promote the research of our University by making our content accessible, searchable and discoverable by the global research community. Where possible we will endeavour to make available a full-text publication or research related output, in-line with the appropriate copyright permissions and the copyright owner as relevant to each work

### **[STATISTICAL SUPPORT SERVICE](#)**

The Statistical Support Service (SSS) provides advice on statistical methods to help university students and staff engaged in research. The service is funded by contributions from each of the Faculties and the Deputy Vice Chancellor (Research). It has the objectives of maintaining the high quality of quantitative research at the University of Newcastle and improving the statistical skills of researchers. The service is open to all University of Newcastle researchers including conjoint staff. See the guidelines for use and eligibility for free and subsidised support.



## **NEWCASTLE INNOVATION**

Newcastle Innovation supports industry sponsored research or consultancies of an experimental or applied nature, particularly where IP may be developed as part of the project. These projects are typically characterised by the articulation of a problem or sets of problems that have commercial value, are targeted at solving business or corporate problems, and the solving of which will be the focus of the research program. Management or overhead charges, and varying Faculty overhead charges, are applied to these projects.

Newcastle Innovation can play a key role in assisting the researcher(s) to define projects, develop a scope of work and proposal, and to close projects through development and negotiation of an appropriate contract. Newcastle Innovation provides a number of services such as:

- Contract negotiation and management
- Project Management
- Client Relationship Management
- Dispute Resolution
- IP management

- Invoicing
- Accounts Payable and Receivable
- Research Account Management
- Employment of project staff

In general, Research Division will manage funding to support research higher degree students. Where there are opportunities that combine both industry sponsored research and student support, Newcastle Innovation can manage the contract research element. However, management of all aspects of the student candidature will be provided through Research Division.

## UNIVERSITY RESEARCH PERFORMANCE AND REPORTING

### RESEARCH STATISTICS

Statistical information on the University's research performance assists with quality assurance and planning purposes.

The information on research income, publications, research higher degree load and research student completions constitute the inputs to the performance based Commonwealth [Block Funding](#) for research and research training.

### RESEARCH PUBLICATIONS

The Publications Entry System (PES) supports the annual collection of research publications with reference to HERDC specifications and the University's policies and procedures. Research Publications data is part of the HERDC Data Collection and is used for internal research funding allocations.

### RESEARCH PORTFOLIO MANAGER

The Research Portfolio Manager (RPM) reporting system was developed primarily for reporting under the Research Quality Framework (RQF), and then enhanced for the [Excellence in Research for Australia \(ERA\)](#) initiative.

The RPM is now a valuable reporting tool for research performance across the university. It extracts information from multiple University databases to develop individual researcher profiles. Individual researchers are able to enter additional information that has not been captured through these sources, such as research outputs prior to joining the University, to develop a complete research profile.

Research Portfolio Manager:

- Allows individuals to grant access to their portfolio to other staff
- Assists Group Leaders/Centre Directors in the collection of information on group members
- Provides some standard reports on individual and group research achievements
- Allows users to export data from the system.

The information in RPM provides a central information resource for purposes such as assessment of individual and group performance to assist in determining internal funding allocations; generation of standard data required for grant application processes and providing on online, searchable database of expertise and competency information.

It is important to keep your information in RPM as up to date as possible, especially where researchers are involved in Centres or Research Groups. This information is often used for statistical purposes.

A Quick Reference Guide and a more detailed User Guide are available from [RPM webpage](#). Login to the system is via your standard user name (number plate) and password.

## ERA – EXCELLENCE IN RESEARCH FOR AUSTRALIA

The Excellence in Research for Australia (ERA) initiative is a research quality and evaluation system developed by the ARC in conjunction with the National Health and Medical Research Council (NHMRC). ERA assesses research at the discipline level and uses the ABS Field of Research (FoR) Codes at the 4 digit level to categorise research. Data submitted at the 4 digit level is rolled up and assessed at the 2 digit level for a broader assessment.

The ARC has grouped the FoR codes into the following 8 disciplines clusters:

- Physical, Chemical and Earth Sciences (PCE);
- Humanities and Creative Arts (HCA);
- Engineering and Environmental Sciences (EE);
- Social, Behavioural and Economic Sciences (SBE);
- Mathematics, Information and Computer Sciences (MIC);
- Biological and Biotechnical Sciences (BB);
- Biomedical and Clinical Health Sciences (BCH); and
- Public and Allied Health Sciences (PAH)

Information on the University's outcomes in the 2010 ERA assessment and on the 2012 submission process is available at: <http://www.newcastle.edu.au/division/research/era/>

## RESEARCH RECORDS MANAGEMENT

For assistance contact the Records Management Office 49215306 (or15246) or [records@newcastle.edu.au](mailto:records@newcastle.edu.au).

Please read this in conjunction with Research Data and Materials Management Policy 000869.

Research Data are records that are generated in the conduct of a research project where the University is entitled to control or ownership of the research data.

At the completion of a research project physical records (including CD's, DVD's video/audio recording and films) may be boxed and transferred to the University's off-site storage facility at Hunter Records Thornton.

**Other objects/records (materials which are neither hard copy nor electronic, such as rocks or physical specimens) are to be retained in appropriate secure storage in the School/Centre).**

### HOW LONG IS RESEARCH DATA KEPT?

The table below outlines the minimum retention requirements for research records according to the NSW State Records General Disposal Authority - University Records (GDA 23).

Description	Retention/Disposal Action
<b>Projects of major national or international significance</b> , interest or controversy or where the principal investigator has a widely acknowledged influence in the area of scholarship and where the data is crucial to the substantiation of the research findings and cannot be readily or practically duplicated.	<b>Required as State Archives</b> - never to be destroyed. Transfer to the records Management Office for custody on behalf of State Records NSW.
<b>Projects not of major significance – where the project has human subjects</b> and potential long term effects including animal testing for human products. Includes clinical or psychological research with potential long term effects.	Records must be retained for a minimum of <b>20 years after the project is completed, or after research subjects have reached the age of 25 years</b> , whichever is longer, then destroyed.
Projects which are <b>not of major significance</b> –	Records will be retained for a minimum of <b>20 years</b>

where the research has <b>potential long term environmental effect</b> .	after project is completed, then destroyed.
Projects which are <b>not of major significance</b> – where the research does not have potential long term effects, including research on animals	Records will be retained for a minimum of <b>5 years</b> after project is completed, then destroyed
Paper records which have been converted to electronic format e.g. through data entry or imaging.	Records can be destroyed when they are no longer required for reference or administrative use.
Records of intellectual property	<b>Required as State Archives.</b> Records of intellectual property in products/works created as a result of grants & where the university holds all or part ownership, including agreements, contracts, & grant conditions.

*(Please note that this is not a complete list of retention requirements- contact the Records Management Office if records do not fall into these categories)*

At the completion of a research project send a completed 'Records Assessment Form' (available from the Records Management Office website <http://www.newcastle.edu.au/service/records-management/forms/>) and send this to records@newcastle.edu.au

This form must be completed prior to sending any records to the University's off-site storage facility.

Records will be retained at the off-site storage facility for the minimum legal retention requirement, after which the records will be destroyed or transferred to State Archives providing there are no requirements to retain the records for legal/research misconduct reasons.

### **DESTRUCTION OF RECORDS**

- The destruction of records must be approved in accordance with the NSW State Records Act 1998. It is illegal to destroy records without the proper approval by RMO delegated staff.
- **If records have a short retention and are not required to be sent off-site, they can be destroyed** - Complete a 'Record Destruction Authorisation Form' and send it to [records@newcastle.edu.au](mailto:records@newcastle.edu.au). RMO will review and advice/approve the destruction of the records. Records must then be destroyed in a environmental safe and confidential manner.
- **If records are stored off-site and have satisfied the minimum retention requirements**, the RMO will send a 'Record Destruction Authorisation Form' to the Primary Investigator/Head of School to seek approval to destroy records. Once approved the RMO will co-ordinate the destruction of the records with the off-site storage facility.

### **RECORDS MANAGEMENT OFFICE RESPONSIBILITIES**

- assist staff in determining the retention requirements of research records;
- provide archive boxes, barcodes and records management forms;
- register boxes and the content of boxes onto TRIM (The University's Electronic Document and Record Management System);
- co-ordinate and authorise the transfer of records to off-site storage or State Archives;
- co-ordinate the return of records from the off-site storage facility;
- co-ordinate, authorise and supervise the destruction of University records that have satisfied the minimum legal retention requirements as per NSW State Records Act 1998; and
- ensure the proper authorisation to access research records is sought prior to releasing research records

### **RESEARCHERS' RESPONSIBILITIES**

- create and maintain full and accurate records of the research by way of notes or diary entries and laboratory books etc;
- protect primary research records, such as laboratory notebooks in accordance with the University's Laboratory Procedure;
- manage research data and primary materials according to protocols approved by the animal or human ethics committee and legislative requirements;
- retain research records, including electronic data, in a durable, indexed and retrievable form;

- ensure that research records are kept safe and secure in the active phase of research;
- maintain a catalogue of research data in an accessible form;
- ensure that where projects span several institutions an agreement is developed at the outset covering the storage of research records within each institution in accordance with the Research Collaboration and Contract Guidelines; and
- ensure adequate backup and archival strategies are in place to prevent the loss of research records.

## ABBREVIATIONS USED IN THIS RESEARCH MANUAL

ABRF	Analytical and Biomolecular Research Facility
ACEC	Animal Care and Ethics Committee
ACGR	Australian Competitive Grants Register
AD(R)	Assistant Dean (Research)
APA	Australian Postgraduate Awards
AQIS	Australian Quarantine and Inspection Service
ARC	Australian Research Council
ARCS	Academic and Computing Research Services
ASU	Animal Services Unit
ASUAG	Animal Services Unit Advisory Group
CEO	Chief Executive Officer
CI	Chief Investigator
CRTC	Chemical and Radiation Technical Committee
CTS	Commercialisation Training Scheme
DIISRE	Department of Innovation, Industry, Science and Research and Tertiary Education
DVC(R)	Deputy Vice-Chancellor (Research)
ERA	Excellence in Research for Australia
EMX	Electron Microscope and X-Ray
GMO	Genetically Modified Organisms
HEP	Higher Education Providers
HERDC	Higher Education Research Data Collection
HREC	Human Research Ethics Committee
HSE	Health Safety and Environment
IBC	Institutional Biosafety Committee
IGS	Institutional Grant Scheme
JRE	Joint Research Engagement
<b>LIEF</b>	Linkage Infrastructure Equipment and Facilities
NCGP	National Competitive Grants Program
NEAF	National Ethics Application Form
NHMRC	National Health and Medical Research Council
OHS	Occupational Health and Safety
PVC	Pro Vice-Chancellor
PVC(R)	Pro Vice-Chancellor (Research)
PES	Publication Entry System
RATS	Research Animal Training Scheme
REA	Research Ethics Advisor
RGIC	Research Grants and Infrastructure Sub-Committee
RIBG	Research Infrastructure Block Grant
RTS	Research Training Scheme
SRE	Sustainable Research Excellence
UoN	University of Newcastle

## USEFUL WEB SITES

### [Australian Code for the Responsible Conduct of Research](#)

Australian Code for the Responsible Conduct of Research guides institutions and researchers in responsible research practices.

### [Researcher Email Lists](#)

Subscribe to the research email lists in your areas of interest to receive regular email advice on funding opportunities and information from our key granting bodies.

### [Research Division Newsletter](#)

This newsletter provides the latest information and developments from the Research Division.

### [Research Portfolio Manager](#)

Whilst the Portfolio Manager was developed primarily for reporting under the Research Quality Framework (RQF), it will be used to support the Excellence in Research for Australia (ERA) initiative. The ERA will replace the now defunct RQF with a streamlined, internationally recognised and transparent research quality assurance system. Portfolio Manger is being updated to meet ERA requirements and provide greater benefits to researchers.

### [WARP: Web Access Research Portal](#)

WARP allows you to access live research data held in Callista Research, providing detailed project information at an individual level.

Only research grant funding (excluding block funding) administered by the University of Newcastle Research Office will be displayed in WARP.

### [Research Publications](#)

The Publications Entry System (PES) supports the process of an annual collection of research publications with reference to HERDC specifications and the University's policies and procedures.

### [Research Statistics](#)

Statistical information on the University's research performance assists with quality assurance and planning purposes. Various databases are available for internal research grants, external grant application success rates, research income (including block grant income), research publications, research higher degree candidates, and animal and human ethics clearances.

### [Register of Supervisors](#)

The Register of Supervisors allows you to search for a potential supervisor. Prospective Research Higher Degree applicants are encouraged to consult with academics in their chosen field prior to submitting an application for admission.

### [Statistical Support Service](#)

The Statistical Support Service (SSS) provides advice on statistical methods to help university students and staff engaged in research.

### [Academic Promotion](#)

Information, links and resources for academic promotion.

### [Women @ UoN](#)

Women @ UoN is a professional development program for female staff of the University. It is part of the University's wider Women's Leadership Development Initiative (WLDI) – a strategy aimed at establishing support systems to assist women to achieve promotion and to prepare for leadership roles.