




DOCUMENT TYPE	P	
ACADEMIC	1	
RESEARCH AND RESEARCH TRAINING	3	
GRANTS AND FUNDING	5	
NUMBER	002	
		Policy Database Document Reference Number 135002P

RESEARCH CONTRACTS, GRANTS, CONSULTANCIES, COLLABORATIONS AND JOINT VENTURES POLICY


Purpose/ objectives	This Policy determines the framework within which academics and researchers apply for research grants or develop contracts with sources both internal and external to the University. This includes the development of funding applications and contracts and the administration and acquittal of funded proposals. It also contains general principles relevant to other University Contracts and Consultancies.
Scope/ Application	All La Trobe University campuses and external research locations All types of research grant applications, proposals or contracts (both internal and external) All La Trobe University Staff Members and students
Policy Statement	<p>University Contracts and Consultancies are subject to the following:</p> <ul style="list-style-type: none"> • the work must fall within the expertise and capabilities of the Staff Member proposing to undertake it, • the work to be undertaken must be appropriate to a University and unlikely to infringe the general freedom of enquiry of the University and of the staff concerned, • they must not place the interests of the Staff Member above that of the University and any possible conflicts of interest have been managed according to the Conflict of Interest Policy (HRM Manual 2.5), • recovery of costs has been attempted, consistent with requirements of the University Contract or Consultancy, • financial contributions and the use of University space and facilities must be identified and approved by the relevant Delegate and/or the Deputy Vice-Chancellor (Research) (or a person to whom the Deputy Vice-Chancellor (Research) has delegated that responsibility), • competitive neutrality principles, • work must not be aimed at or likely to result in harm to the life or wellbeing of any person and • students may not be involved except in fulfilment of an approved course requirement or otherwise only with voluntary consent and for fair payment. <p>The person authorised to sign University Contracts and Consultancies for Research must have written evidence that:</p> <ul style="list-style-type: none"> • relevant clearances from human ethics, animal ethics or genetic manipulation committees have been obtained at the time that is necessary for conduct of the research and • the Delegate has made the certifications required for a Research proposal and that all relevant policies and procedures have been followed, including the procedure for this policy on costing, pricing and recovery of infrastructure costs.

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	<p>La Trobe University is committed to best practice in all aspects of Research as laid out in the Australian Code for Responsible Conduct of Research (2007). There must be full disclosure to the University of all Research to be conducted that must be compliant with La Trobe University statutes, regulations and policies and in accordance with the Australian Code for Responsible Conduct of Research. The Delegate must certify in all Research proposals or applications that the Delegate:</p> <ul style="list-style-type: none"> • will ensure that the research is conducted in accordance with La Trobe University's statutes, regulations and procedures, • will meet all Faculty or Administrative Division commitments detailed in the application, • has identified any special funding that will be required, • will fund any shortfall in salary and/or salary service rates, • will ensure appropriate monitoring and accountability processes will manage the budget, • will manage the workload of the staff member to take into account a successful application, • will be responsible for any over-expenditure and • if for a competitive Grant, the proposal has been peer-reviewed. <p>All Research proposals or applications must be endorsed by the Deputy Vice Chancellor (Research) or person to whom he has delegated that responsibility prior to submission.</p> <p>Staff Members must act to ensure that the University maximises Research Income. Staff Members will co-operate to ensure that all such income is declared in the Higher Education Research Data Collection or its successors.</p> <p>University Contracts and Consultancies from foundations primarily funded by the tobacco industry will not be accepted. University Contracts and Consultancies from business units of companies involved in the tobacco industry will not be accepted if, in the opinion of the Deputy Vice-Chancellor (Research), the unit is engaged directly in the production, manufacture, distribution, promotion or marketing of tobacco or tobacco products as its primary business; or acceptance of the funding involves any promotion or advertising that can be construed to support the tobacco industry or the tobacco lobby and its activities. University Contracts and Consultancies with business units of companies involved in the tobacco industry will be possible if, in the opinion of the Deputy Vice-Chancellor (Research), the primary business of the donor unit is unrelated to the tobacco industry and acceptance of the funding cannot be construed to support the tobacco industry or the tobacco lobby and its activities.</p> <p>The University will not enter into University Contracts and Grants which limit, in any way, the ability of a student to meet examination requirements of the University, for example, by:</p> <ul style="list-style-type: none"> • restricting the inclusion of research results in their thesis, • limiting seminars which are part of the course requirements (<i>noting that some confidentiality conditions may be required to protect agreements between parties</i>),
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	<ul style="list-style-type: none"> • allowing the funding agency to vet the thesis before its submission, • limiting the ability of the University to have the thesis examined or • by delaying the submission of the thesis. <p>If necessary, the University may agree to ensure that the thesis or an appendix to the thesis remains confidential to the University and the examiners for a specified period of time.</p> <p>The University recognises that bodies providing funding for Research and/or education programs are entitled to specify the fields and scope of the programs, and to monitor their quality and timeliness. The University recognises that commercial or other considerations might sometimes require delays in publication but will generally not accept restrictions on publication in University Contracts and Consultancies. University Contracts and Consultancies which require restrictions on publications other than delay must be approved by the Vice-Chancellor on the recommendation of the Deputy Vice-Chancellor (Research).</p> <p>Bids for University Contracts and Consultancies or tenders must abide by the Trade Practice Compliance Policy.</p> <p>Any legal conditions deemed to be accepted by applicants or tenderers must be reviewed by Legal Services before submission.</p> <p>All contracts must have been approved by Legal Services before signature.</p> <p>The distribution of surpluses from University Contracts is subject to the Outside Work Policy.</p>
Supporting Procedures	Contracts, Grants, Consultancies, Collaborations and Joint Ventures
Responsibility for implementation	Deputy Vice Chancellor (Research) Research Services, La Trobe University
Responsibility for monitoring implementation and compliance	Research Services, La Trobe University
Status	Approved by Council, 7 September 2009, Minute 393.8.2.
Key stakeholders	Academic Board Research and Graduate Studies Committee
Approval Body	University Council
Initiating Body or person(s)	Research and Graduate Studies Committee

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Definitions	<p>Research is as defined in the 2009 Higher Education Research Data Collection Guidelines or its successors in later years. http://www.innovation.gov.au/ScienceAndResearch/programs_funding/Documents/2009%20HERDC%20Specifications%20FINAL%20290109.pdf</p> <p>Research Income is as defined in the 2009 Higher Education Research Data Collection Guidelines or its successors in later years. \</p> <p>Staff Member means any employee of the University.</p> <p>University Contract or Consultancy means any legal contract made by the University in which a legal obligation to an external organisation for performance of work by a Staff Member falls on the University or wholly owned subsidiary and/or consideration is owed to the University or wholly owned subsidiary.</p> <p>Grant means a University Contract or Consultancy in which financial acquittal of the grant is a legal obligation of the University and any unspent funds must be returned to the external organisation.</p> <p>Delegate means the Dean or Head of Administrative Division of the Staff Member or a person to whom they have delegated a responsibility under this policy in writing.</p>
Related legislation	TBD
Related Policy and other documents	<p>Contract Signing Policy</p> <p>Commercial Activities Policy</p> <p>Contract Australian Government/NHMRC/ARC Australian Code for the Responsible Conduct of Research (2007)</p> <p>2009 Higher Education Research Data Collection Guidelines</p> <p>Research Integrity Policy and related Procedures</p> <p>Intellectual Property Policy</p> <p>Research Centres and Institutes Policy</p> <p>Conflicts of Interest Policy (HRM Manual Section 5.19)</p> <p>Policy of the Australian National University on Externally-funded Grants, Contracts and Consultancies</p>
Date Effective	7 September 2009
Next Review Date	30 June 2011
Keywords	Contract, consultancy
Owner/Sponsor	Deputy Vice-Chancellor (Research)

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