**Research Project Risk and Compliance Checklist**

This [Research Project Risk and Compliance](https://www.westernsydney.edu.au/research/researchers/research_project_risk_and_compliance) guide has been designed to assist researchers at Western Sydney University to maintain compliance with policies and procedures and to conduct research with integrity.

All those involved in research should be aware of and abide by the principles of research integrity and policies and procedures, set out by the University, funders, regulators, professional associations, and the law. This (non-exhaustive) list seeks to encourage a broader dialogue between supervisors, researchers, and students about good research practice. It is intended to be a guide only.

**Note:** Copies of any required documentation should be kept on file with your research project paperwork.

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|  | **Item** | **Requirement** | **Resources and further guides**  |
|  | **Research Code of Practice** |  |  |
| [ ]  | The Research Code of Practice sets out the principles and processes to support the responsible conduct of research in accordance with the [Australian Code for the Responsible Conduct of Research (ACRCR) 2018](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018#block-views-block-file-attachments-content-block-1) and applies to all research activity carried out by, at or on behalf of the University, and to all individuals who carry out research at or on behalf of the University. | Read and understand the code, noting that all researchers are expected to undertake their research with integrity.  | [Research Code of Practice](https://policies.westernsydney.edu.au/document/view.current.php?id=166)[Australian Code for the Responsible Conduct of Research 2018](https://www.nhmrc.gov.au/file/14384/download?token=gje4DNtT)[Australian Code for the Care and Use of Animals for Scientific Purposes (2013)](https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes) |
|  | **Research Data Management** |  |  |
|[ ]  All research project data should be managed and curated effectively throughout its lifecycle in accordance with the University’s Research Data Management Policy.Researchers must create a shareable [Research Data Management Plan](https://research-data.westernsydney.edu.au/default/rdmp/record/rdmp/edit) (RDMP) which complies with the University’s Research Data Management Policy. This should be updated as and when data management practices change.  | Prior to commencing your research, submit a RDMP via [ResearchDirect](https://research-data.westernsydney.edu.au/default/rdmp/record/rdmp/edit). This is an online template that asks all the necessary questions to get you thinking about how data will be managed on your research project. Download and save a copy once created.*Recommendation:* Attend the Introduction to Research Data Management training – suggest all new researchers attend.  | [Research Data Management Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=311)[ResearchDirect](https://research-data.westernsydney.edu.au/default/rdmp/home)[Research Data Management – Library](https://subjectguides.library.westernsydney.edu.au/rdm) [Training](https://www.westernsydney.edu.au/home/events) [NHMRC – Management of Data and Information in Research](https://www.nhmrc.gov.au/file/14359/download?token=L5GTBw96)[Research Funder & Publisher Requirements](https://library.westernsydney.edu.au/researchers/data-management/research_funder_and_publisher_requirements) |
|  | **Funder expectations** |  |  |
|[ ]  Researchers should be aware of codes of conduct or guidelines developed by individual funders. Compliance with such codes is often a requirement of funding. Consideration should be given to the confidentiality requirements of the funding bodies (such as partner requirements around media releases and publishing embargoed information)  | It is important that CIs are fully aware of the terms and conditions of an award and their obligations under the award. This information can usually be found in the body of the Funding Agreement or Conditions of Award. In some cases, invoicing and reporting milestones may be in the Schedule to an Agreement. | [Australian Research Council (ARC)](https://www.arc.gov.au/grants/grant-application/fundinggrant-agreements)[National Health and Medical Research Council (NHMRC)](https://www.nhmrc.gov.au/grants-funding) |
|  | **Risk Management**  |  |  |
|[ ]  In conducting research activities, researchers have responsibilities to assess and manage the risk of their research activities.  | As per the WSU Research Code of Practice and [Risk Management Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=172), in conducting research activities, researchers have responsibilities to assess and manage the risk of their research activities by identifying and familiarising themselves with risks associated with their projects. **Risk Assessments** The appropriate risk assessments (also known as risk registers) must be undertaken before research starts and reviewed regularly throughout the project. See the [Research Project Risk and Compliance](https://www.westernsydney.edu.au/research/researchers/research_project_risk_and_compliance) webpage for more information. **Using Digital Services**As per the [Digital Services Implementation Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=127), all acquisitions of digital services (free, purchased or downloaded) for research projects are required to complete a [Risk and Compliance Determination (RCD)](https://wsu.service-now.com/it?id=sc_cat_item&sys_id=05629a99db10dc504f58e434059619db) (*login to IT portal required)* form prior to its installation and / access. This allows the IT team to evaluate IT risks and compliance issues associated with the software and develop recommendations on how any identified risks can be addressed. | [Risk Management Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=172).[WHS](https://www.westernsydney.edu.au/whs/whs/risk_assessment_and_management)[Research Project Risk Form (for all research projects)](https://westernsydneyedu.sharepoint.com/sites/Research/REDI/ResearchForms/Lists/Risk_Assessment/AllItems.aspx)[WHS Risk Assessment template (for health and safety related risks)](https://www.westernsydney.edu.au/__data/assets/word_doc/0003/1950384/WHS_Risk_Assessment_Form_V1.5.1.docx)[TEMS (for travel risk assessment)](https://www.westernsydney.edu.au/finance_office/finance/procurement/travel_and_expense_management_system_tems)[Digital Services Implementation Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=127)[Risk and Compliance Determination form (login required)](https://wsu.service-now.com/it?id=sc_cat_item&sys_id=05629a99db10dc504f58e434059619db) |
|  | **Ethical Requirements** |  |  |
|[ ]  Research involving human participants, human data or tissue, the use of animals, microorganisms or agents (classified as Risk Group 2 and above), genetically modified organisms, biological toxins, Security Sensitive Biological Agents (SSBA), quarantine material, ionising radiation sources, radioactive materials and equipment, and lasers above class 2, will necessitate compliance with particular ethical and legal requirements. | [*Documentation required for Animal Ethics*](https://www.westernsydney.edu.au/research/research_ethics_and_integrity/animal)[*Documentation required for Human Ethics*](https://www.westernsydney.edu.au/research/research_ethics_and_integrity/human_ethics)[*Documentation required for Biosafety and Radiation Safety*](https://www.westernsydney.edu.au/research/research_ethics_and_integrity/biosafety) | [Research Integrity and Ethics](https://www.westernsydney.edu.au/research/research_ethics_and_integrity)[Research Ethics Policy documents](https://policies.westernsydney.edu.au/document/associated-information.php?id=21) [Australian Code for the Responsible Conduct of Research (2018) and associated guides](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018#block-views-block-file-attachments-content-block-1) [Australian Code for the Care and Use of Animals for Scientific Purposes](https://www.nhmrc.gov.au/guidelines-publications/ea28) (2013)[Animal Research Act (1985)](https://legislation.nsw.gov.au/view/html/inforce/current/act-1985-123)[National Statement on Ethical Conduct in Human Research (2018)](https://www.nhmrc.gov.au/guidelines-publications/e72) |
|  | **Authorship** |  |  |
|[ ]  Authorship provides credit for an individual’s contributions to a study and carries accountability.It is important that researchers are aware of the authorship practices within their own disciplines and any guidelines set by the journals in which they hope to publish.It is recommended that arrangements and responsibilities for the publication of results should be taken into account when planning a research project and reviewed at appropriate points during the lifecycle of the study. | Understand the University’s guidelines on authorship.Discuss any discipline specific requirements and guidance for authorship and publication relevant to the area of research. | [Research Code of Practice: Part C - Authorship and Attribution](https://policies.westernsydney.edu.au/document/view.current.php?id=166&version=7%23part3:~:text=Management%20Policy.-,Part%20C%20%2D%20Authorship%20and%20Attribution,-(20))[Authorship - NHMRC](https://www.nhmrc.gov.au/file/14358/download?token=jrA-2qrR)  |
|  | **Conflict of Interest**  |  |  |
|[ ]  Researchers should declare and manage any real or potential conflicts of interest (COI). | Declaration of COI on [Conflict of Interest](https://erm.protecht.com.au/wsu/worms/client/app/anonymousWidget.html?widget=AnonymousRegisterEntry&appId=1121&tablename=table_137120) Register. | [Conflict of Interest Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=93)[Conflict of Interest Procedures](https://policies.westernsydney.edu.au/download.php?id=844&version=2&associated)[Conflict of Interest Guidelines](https://policies.westernsydney.edu.au/download.php?id=845&version=3&associated) [COI Register](https://erm.protecht.com.au/wsu/worms/client/app/anonymousWidget.html?widget=AnonymousRegisterEntry&appId=1121&tablename=table_137120) [COI Register – How to use](https://www.westernsydney.edu.au/__data/assets/pdf_file/0010/1780147/Hard_copy_training_material_-_Continual_Disclosure_-_for_University_empl.._.pdf) [NHMRC - Disclosures of Interest](https://www.nhmrc.gov.au/file/14503/download?token=YtUTSjW4)  |
|  | **Licences, permissions and agreements**  |  |  |
|[ ]  Some projects will require licences, permissions or agreements before they can commence. This might include, for example:* Import licences for materials
* Foreign arrangements
* Licences to use certain materials
* Material Transfer Agreements
* Permissions from communities or government agencies
* Export control licences
 | The [Defence Trade Controls Act 2012 (DTCA)](https://www.legislation.gov.au/Details/C2018C00318)  regulates the intangible supply, publication and brokering of goods and technology listed in the Defence and Strategic Goods List (DSGL) and strengthens existing regulations on tangible exports under the [Customs Act 1901](https://www.legislation.gov.au/Details/C2021C00393). Supplying, brokering or publishing items, technologies and information outside of Australia that are considered by government as 'controlled' may require a permit.In December 2020, the Australian Government implemented the Foreign Arrangements Scheme; established under Australia’s Foreign Relations (State and Territory Arrangements) Act 2020. If you are intending to enter into an arrangement with an international partner, whether it's an institution, government, corporate, or individual, please use the [foreign arrangements form](https://smartiq.westernsydney.edu.au/SmartIQ16/Produce/Form/All%20Staff/Foreign%20Arrangements%20Notification%20Form/) to let the Foreign Arrangements team know of your intent. Alternatively they can be contacted at dfatreporting@westernsydney.edu.au or m.hunter@westernsydney.edu.au . This submission form allows us to evaluate whether or not we need to notify the Department of Foreign Affairs and Trade regarding a new partnership. Notifying the University means that we can follow appropriate policy and processes around developing partnerships and ensure that staff rights are protected from potential external threats.Notifying the University means that we can follow appropriate policy and processes around developing partnerships and ensure that staff rights are protected from potential external threats. | [Foreign Arrangements Scheme webpage](https://www.westernsydney.edu.au/research/researchers/foreign_arrangements_scheme)[Foreign Arrangements Notification Form](https://formcenter.westernsydney.edu.au/produce/Form/FA%20BETA/Foreign%20Arrangements%20Notification%20Form/)[Department of Foreign Affairs and Trade](https://dfat.gov.au/pages/default.aspx)[DFAT Sanctions regimes webpage](https://www.dfat.gov.au/international-relations/security/sanctions/sanctions-regimes)[DFAT Smartraveller](https://smartraveller.gov.au/Pages/default.aspx)Guidelines to Counter Foreign Interference in the Australian University SectorControlled [Goods](https://www.westernsydney.edu.au/research/research_ethics_and_integrity/controlled_goods_and_technology) and TechnologyDefence Export Controls[Defence Strategic Goods List](https://www.defence.gov.au/business-industry/export/controls/export-controls/defence-strategic-goods-list) |
|  | **Intellectual Property** |  |  |
|[ ]  It is important that researchers consider whether Intellectual Property may be generated by their project and that they are aware of the University policy on Intellectual Property Rights. | Discuss whether it is likely that intellectual property will be generated by the project. Understand the University’s guidance on Intellectual Property. Discuss any third-party agreements in place that will govern arrangements for IP generated during the project. | [Intellectual Property Policy](https://policies.westernsydney.edu.au/document/view.current.php?id=85&version=4) |
|  | **Training and professional development** |  |  |
|[ ]  Training is an important part of ensuring that researchers are able to understand and adopt best practice as quickly as possible.The University offers many training courses at the local and School-level as well as centrally. | Mandatory Training allocated to you is accessible via [Staff Online](https://staffonline.westernsydney.edu.au/alesco-wss-v17/faces/app/WJ0000.jspx) in the MyCareerOnline tab.There is also a range of other training across the university. | [Staff Online](https://staffonline.westernsydney.edu.au/alesco-wss-v17/faces/app/WJ0000.jspx)[Researcher Development](https://www.westernsydney.edu.au/researcher-development) [Upcoming training](https://www.westernsydney.edu.au/research/events)  |
|  | **Subject-specific policies, procedures and guidelines** |  |  |
|[ ]  Individual University departments and faculties have subject-specific policies and guidelines that they expect their members to abide by.Additionally, there are a wide range of codes and guidelines developed by professional or subject-specific groups that researchers should be aware of. | Become familiar with all relevant policies as required by your role.  | [WSU Policies](https://policies.westernsydney.edu.au/masterlist.php) |