

ISCRR RESEARCHER GUIDELINES (AUGUST 2017)

1. Purpose

The purpose of these guidelines is to outline obligations for researchers who receive funding for projects through the Institute for Safety, Compensation and Recovery Research (ISCRR).

2. Background

ISCRR is a collaboration between the Transport Accident Commission (TAC), WorkSafe Victoria (WSV) and Monash University (Monash). ISCRR was established in 2009 to facilitate research and best practice in injury prevention, rehabilitation and compensation policy and practice.

The research undertaken through ISCRR is governed by the Research Institute Collaboration Agreement (RICA). The RICA specifies a number of requirements that must be met by ISCRR, Researchers engaged through ISCRR and the three partners (Monash University, TAC & WSV). Several policies also underpin the RICA, which dictate requirements regarding research project management and reporting, publications resulting from ISCRR funded research and output reviews.

This guide has been designed to highlight key obligations and processes for meeting those obligations that are applicable to researchers who are awarded funding through ISCRR.

3. Relevant to

All researchers who are working on projects that have been awarded funding through ISCRR.

4. Roles and Responsibilities

The following stakeholders are involved in the effective management of an ISCRR research project:

- **Research Team** - the research team is based within a University and is engaged to undertake the research project and deliver the findings to ISCRR.
- **ISCRR** - ISCRR conducts research as well as acting as a research broker, engaging researchers to undertake research projects. ISCRR monitors progress and works with research teams to assist in keeping projects on track and ensuring the research is targeted and delivered to meet TAC and WSV needs.
- **Funder** (TAC or WSV) – Represented on the project by two key people – a nominated project sponsor and key contact who will provide advice and assistance to the research team as outlined in the project plan and will assist in the implementation and translation of findings into practice/policy.

Table 1 outlines the key roles and responsibilities for each of the stakeholder groups:

Stakeholder	Role	Responsibilities
Research Team	Chief Investigator and academic staff	<ul style="list-style-type: none"> - Undertake the research in line with academic requirements (ethics etc.) and rigorous scientific methodology - Deliver the project in line with the approved project plan - On time delivery of quality project outputs (ie research reports, journal articles, presentations, etc)
	Project Manager	<ul style="list-style-type: none"> - Manages the budget and resources and ensure the project stays on track - Provides administrative reports to ISCRR outlining project progress - Coordinates meetings and presentation of findings in collaboration with ISCRR

ISCRR	Director, Partner Engagement	<ul style="list-style-type: none"> - Oversees project output reviews - Actively works with funders and research teams to resolve any project issues as they arise
	Research Program Management Lead	<ul style="list-style-type: none"> - Develops contracts and procurement processes - Provides templates and guidance materials for researchers - Supports researchers to keep the project on track - Monitors researcher outputs
	Program Support	<ul style="list-style-type: none"> - Monitors compliance with project milestones - Transfers approvals for milestone payments - Maintains databases of administrative and academic deliverables
Funder	Key Sponsor	<ul style="list-style-type: none"> - Provides resources as agreed in the project plan - Active, ongoing involvement in the planning and implementation of the research project - Maximises dissemination and use of research findings within the organization and to key stakeholders - First point of call for ISCRR if any amendments to the project are requested by researchers
	Key contacts	<ul style="list-style-type: none"> - Technical expertise within the funding organisation able to assist researchers with any technical or project enquiries - Key point of contact should the Sponsor be unavailable

5. Research Team requirements

5.1 Project Management

5.1.1 Project Management standards

All ISCRR research projects must be managed in line with best practice project management standards.

A project manager must be appointed for all projects. This person is responsible for ensuring that the project addresses the agreed research questions, and remains in scope, on budget and on time. The project manager is also responsible for:

- Providing project reports, as specified in the funding agreement including project management reports and completion reports.
- Managing project issues and risks including notification of anticipated risks to ISCRR's Research Program Management Lead as early as possible.
- Updating ISCRR on financial expenditure as required.

5.1.2 Project Management Reports

Reporting periods vary depending on the duration of the research project. Further, ISCRR may seek additional project updates outside of the agreed schedule, most likely due to funder requests. Where feasible, this will be requested via a telephone call to the Chief Investigator.

The ISCRR website has templates for completing the following reports:

1. Research Project Management Guide
2. Project Plan and Budget Template
3. Project Management Reporting Template
4. Project Completion Reporting Template

All templates are available at www.iscrr.com.au/researcher-guide.

The project manager is responsible for ensuring reports are delivered to ISCRR by the required dates. ISCRR will acknowledge receipt and will follow up with queries if necessary.

5.1.3 Project Amendments

The RICA allows for project plans to be amended in exceptional circumstances. Chief investigators of research projects that need to be amended must undertake the following process:

1. Contact ISCRR's Research Program Management Lead to discuss the project issue and potential impacts to the project (time, scope and/or budget).
2. Following discussion, ISCRR will provide back to the researcher viable options to proceed. This may include provision of support from ISCRR to keep the project on track or project amendment options.
3. Options for project amendment are presented to the key sponsor for consideration and decision-making by ISCRR's Research Program Management Lead or Director, Partner Engagement.
4. If an amendment is required, ISCRR will assist the research team to develop a formal project amendment form.
5. The form will then be submitted to ISCRR governance processes. The final approver varies depending on the nature of the project amendment.

This process can take up to several months to complete, so it is essential that ISCRR's Research Program Management Lead be informed early of any potential issues arising within the project that may impact on delivery of the project plan as stated.

5.1.4 Project Completion

Just prior to the completion of the research project, ISCRR will send an email request to the Chief Investigator and Project Manager for a completion report. The Chief Investigator has 20 business days to complete and submit this report to ISCRR along with a budget report, which will be acquitted by ISCRR. Any unspent funds must be returned to ISCRR (who will return them to the funder). The following templates (available at www.iscrr.com.au/researcher-guide) must be completed and submitted:

1. ISCRR Completion Report Template
2. ISCRR Completion Budget Acquittal Template

5.2 Ethics and Confidentiality

ISCRR requires all projects to adhere to appropriate confidentiality and ethical standards. The Chief Investigator must:

- Obtain Ethics approval (or exemption) through their University's Ethics Committee, providing a copy of the Ethics Application and Approval documentation to ISCRR for record keeping prior to research commencement
- Ensure all members of the project team complete a Confidentiality Deed and forward all completed Deeds to ISCRR prior to project commencement.
- If using data from the Compensation Research Database (CRD) ensure that strict security protocols are maintained and that data is destroyed or returned to ISCRR on completion of the research project.

Additionally, the secrecy provisions relating to government data the Acts that govern the TAC and WorkSafe (including the *Transport Accident Act 1986* and the *Workplace Injury Rehabilitation and Compensation Act 2013*) must be adhered to by ISCRR and all involved in an ISCRR research project.

5.3 Intellectual Property

Intellectual Property (IP) includes research or products of research that may have some commercial value (formalised through patents, copyright, trademarks and designs). The RICA requires the disclosure of existing

Background IP and Institute IP. Depending on the source of funding, Institute IP is further divided into four sub-categories – Funding Provider IP, Externally Funded IP, Monash IP or Joint IP – which are dealt with differently.

Background IP remains the property of the organisation that brings it into the research project. Therefore, the Chief Investigator needs to ensure that any Background IP used is reported accurately to ISCRR, both in the approved project plan and Project Management Reports.

The Chief Investigator must also report any new IP that is created through the project, using the periodic Project Management Reports as the project progresses. Generally, new IP created through an ISCRR research project will be owned by the funder/s unless discussed, agreed and stated upfront prior to the signing of the project plan document.

5.4 Research Outputs – Project Deliverables

The research outputs of an ISCRR research project can be delivered in various forms. Recognised output categories include:

- research reports/reviews
- briefs
- journal articles
- conference abstracts
- presentations
- posters
- thesis

All research outputs (whether specified in the project plan or otherwise) are to comply with the ISCRR Research Output Guidelines and Publication Policy available on the ISCRR Researcher Web Portal at www.iscrr.com.au/researcher-guide. Most ISCRR projects will, at a minimum, specify that a report be delivered to ISCRR that clearly outlines the findings of the research project. This report should be written in a way that can be easily read and utilised by TAC/WSV and acknowledge the funding partners as per the **ISCRR Research Output Guidelines – Reports**.

There is no formal report template or format for research reports; however, the **ISCRR Research Output Guidelines - Reports** provide the minimum expected standard for research reports. Additionally, the **ISCRR Research Output Guidelines - Presentations** provide advice on recommended presentation structure and inclusions. Guidelines are available on the ISCRR website at: www.iscrr.com.au/researcher-guide.

5.5 Additional Research Outputs

ISCRR researchers are not precluded from developing additional outputs from ISCRR research projects, but those that are written into project plans as key deliverables of the project must be prioritised and delivered on time. Prior to the submission of an article to a journal or an abstract to a conference researchers have certain responsibilities under the ISCRR **Publication Policy**. This policy is outlined in *section 5.6* and applies to all research outputs that arise as a result of a project funded through ISCRR.

Annually, ISCRR Research Support will request a complete list of research outputs arising from ISCRR research projects. Researchers are to keep ISCRR informed of the progress of each article submitted and send published copies/links to ISCRR's Research Program Management Lead for filing.

5.6 Publication Policy

The ISCRR Publication Policy was developed following broad consultation with ISCRR's research and industry partners to support dissemination and uptake of research evidence. It is important to note that this policy outlines requirements for ISCRR, Researchers and TAC/WSV.

The Policy requires that all research outputs are to follow a three-stage review process.

1. *Stage one: ISCRQ QA check* – at this stage, ISCRQ reviews the report for the purposes of Quality Assurance, to ensure the report is free of errors, is written in an accessible way, and has delivered on the agreed project plan.
2. *Stage two: Peer Review* – at this stage, ISCRQ seeks an appropriate peer reviewer. This is usually someone from within ISCRQ or Monash University that can provide an academic opinion on the report.
3. *Stage three: Funder Review* – at this stage, the Key Sponsor from the funding agency reviews the report. This review will consider any discrepancies or inaccuracies in relation to use of funder data, policy and practice. Funders may also provide feedback on how well the report is written and may provide suggestions for increasing readability and value.



While there is no timeline outlined in the policy or RICA for stages 1 and 2, ISCRQ endeavors to undertake these stages within 20 business days of receipt of the report. Stage three has a 20 business day timeline for review of the report.

It is expected that researchers will take any reasonable suggestions or comments into consideration before submitting final reports, or articles for publication. In the event that a researcher does not wish to make suggested alterations, it is expected that they provide a statement of response. A statement of response template will be provided and all researchers are required to complete this.

5.6 Research Translation

Research Translation is considered a continuing, bi-directional process from the project start and beyond the life of the research project. A number of translation activities are usually included in each project plan (such as reports, presentations, journal articles etc), although these can be expanded upon during the course of the project as findings are generated and further translation opportunities are identified. It is expected that researchers will participate in planned activities as far as possible.

ISCRQ's key focus in translation of research findings is on delivering solution-focused and actionable evidence to the funding partners. Reports and presentations that are clear, concise and easy to read/understand facilitate greater uptake into policy and practice. In most instances ISCRQ will develop a one page summary to accompany each research report when delivering reports to funding partners. The lead researchers may be asked to review this plain language summary during development.

5.7 Termination

The RICA (and associated project agreements) allows for termination of a research project at any time (under certain circumstances) by written notice to the Chief Investigator. In the rare event that this does occur, the Chief Investigator must cease to incur further costs in relation to the research project. A Completion Report must be submitted and ISCRQ will finalise the payments according to the approved project plan, up to the date of termination.

6. Changes to these guidelines

In an effort to maintain currency and keep researchers up to date, these guidelines and associated templates will be made available online on the ISCRQ website at www.iscrr.com.au/researcher-guide.

Researchers should regularly check for updated versions of all templates on the website and ensure they are using the current forms. Additionally, researchers will receive periodic communication from ISCRQ alerting them to changes to these guidelines or associated templates. Researchers should ensure info@iscrr.com.au is saved in their address book to receive these emails.

7. ISCRR Key Contacts

Project Management Enquiries	Administration Enquiries	General enquiries
John Rabling Research Program Management Lead E: John.Rabling@monash.edu T: 03 9903 8625	ISCRR Research Program Support E: program-support@monash.edu T: 03 9903 8610	ISCRR Information E: info@iscrr.com.au T: 03 9903 8610