

# Responsible Research Conduct - Governing Policy

## 1. Purpose of policy

1.1 The purpose of this policy is to outline the principles and expected standards of conduct that underpin high-quality research and to inform the research community about what constitutes and how to manage a breach of research conduct. This policy is based on the *Australian Code for the Responsible Conduct of Research* and the associated guides.

## 2. Policy scope and application

2.1 This policy applies to all staff, students, adjunct and conjoint appointments, visiting academics and research fellows who engage in research activity under the auspices of the University.

2.2 The institution and researchers must comply with the *Australian Code for the Responsible Conduct of Research*, other relevant state and national legislation, and relevant university policies and procedures, regardless of the research funding source or whether the research requires ethics approval. Failure to comply may be regarded as a breach.

2.3 Records that provide reliable and accurate evidence of decisions and actions must be captured by all individuals engaged in research activities. All records must be captured in an approved records management system in accordance with the Information and Records Management – Procedures.

## 3. Definitions

Please refer to the University's Glossary of terms for policies and procedures. Terms and definitions identified below are specific to this policy and are critical to its effectiveness.

**Balance of probabilities:** the civil standard of proof, which requires that on the weight of evidence it is more probable than not that a breach has occurred.

**Breach:** behaviour that fails to meet the requirements of responsible research conduct as outlined in the *Australian Code for the Responsible Conduct of Research* and university policies and procedures. May refer to a single breach or multiple breaches.

**The Code:** the *Australian Code for the Responsible Conduct of Research*.

**Conflict of interest:** a conflict of interest exists where an independent observer might reasonably conclude that the professional actions of a person or institution are or may be unduly influenced by other interests.

**Corresponding author:** the author who is, as agreed by all co-authors, responsible for communication between the publishers, managing communication between co-authors and maintaining records of the authorship agreement.

**Higher Degree by Research (HDR) students:** students enrolled in a research master's or doctoral degree.

**The Investigation Guide:** the *Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research*.

**Primary materials:** physical or virtual objects acquired or derived through a process of scholarly investigation from which research data may be derived. It includes ore, biological materials, questionnaires or recordings.

**National Statement:** the *National Statement on Ethical Conduct in Human Research*.

**Research:** as defined in the *Australian Code for the Responsible Conduct of Research*.

### APPROVAL AUTHORITY

Council

### RESPONSIBLE EXECUTIVE MEMBER

Deputy Vice-Chancellor (Research and Innovation)

### DESIGNATED OFFICER

Director, Office of Research

### FIRST APPROVED

13 June 2000

### LAST AMENDED

18 August 2021

### REVIEW DATE

9 November 2028

### STATUS

Active

Researcher: all staff, students, adjunct and conjoint appointments, visiting academics and research fellows who engage in research activity under the auspices of the University.

Research data: any data collected during research that could be used to validate the research findings and/or facilitate the reproduction of the research. This includes data in all forms (e.g. electronic, lab notes, surveys, field notes, datasets, audio recordings, test results).

Research output: a research output communicates or makes available the findings of research that may be in hardcopy, electronic or other form. Examples include, but are not limited to, journal articles, book chapters, books, web-based publications, conference papers, reports, datasets, patents and patent applications, performances, videos and exhibitions.

Research Integrity Advisor (RIA): a senior researcher with knowledge of responsible research practices and related policies, procedures and legislation nominated to promote and support responsible research conduct and provide advice to those who have concerns or complaints about potential breaches.

Research misconduct: a serious breach of the *Australian Code for the Responsible Conduct of Research*, the Responsible Research Conduct – Governing Policy, other relevant university policies or procedures, and/or relevant legislation that is also intentional or reckless or negligent.

3Rs: Replacement, Reduction and Refinement as defined in the *Australian code for the care and use of animals for scientific purposes*.

## 4. Policy statement

4.1 The University is committed to building and maintaining a culture of responsible research. As such, research must be conducted responsibly, ethically and with the highest standards of integrity in accordance with the framework outlined in this policy and the associated procedures.

## 5. Principles

5.1 All researchers are expected to adhere to the highest standards of intellectual honesty and integrity and to conduct their research responsibly and ethically.

5.2 All individuals involved in research activities are required to adhere to the principles of responsible research conduct. In accordance with the Code, the principles of responsible research conduct are:

- Honesty

Researchers must present information truthfully and accurately in proposing, conducting, and reporting their research.

- Rigour

Researchers must demonstrate robust methodology and attention to detail in their research and avoid or acknowledge biases as appropriate.

- Transparency

Researchers must share and communicate research methodology, data and findings openly, responsibly, and accurately, and must disclose and manage actual or perceived conflicts of interest.

- Fairness

Researchers must treat others involved in the research fairly and respectfully, appropriately reference and cite the work of others, and give credit to contributors to the research, including offering authorship where appropriate.

- Respect

Researchers must treat human research participants with respect and consider the needs of minority groups and/or vulnerable people, show respect in the care and use of animals for scientific purposes, and minimise adverse effects on the environment.

- Recognition

Researchers must show recognition to Aboriginal and Torres Strait Islander peoples engaged in their research by: valuing and respecting the diversity, heritage, knowledge, cultural property and connection to land; engaging with Aboriginal and Torres Strait Islander peoples prior to any research being undertaken; and reporting the outcomes of the research back to those involved in the research.

- Accountability

Researchers must comply with relevant legislation, policies and guidelines, ensure good stewardship of public resources used to conduct research, and consider the consequences and outcomes of research prior to its communication.

- Promotion

All individuals involved in University research activity must promote and foster a research culture and environment that supports responsible research conduct.

### 5.3. Institutional responsibilities

5.3.1 In accordance with the Code, the University has a responsibility to:

- (a) maintain a framework that encompasses appropriate governance and management practices for responsible research conduct;
- (b) comply with relevant laws, regulations, guidelines and policies related to responsible research conduct;
- (c) maintain a suite of institutional policies and procedures that are consistent with the principles and responsibilities of the Code;
- (d) provide regular education in responsible research conduct for all staff and students conducting or involved in research;
- (e) maintain a network of RIAs who promote and support a culture of responsible research conduct and provide advice to those with concerns about potential breaches of the Code, relevant university policies, and/or relevant legislation; and
- (f) adhere to the standards of responsible research conduct as outlined in section 5.5 of this policy.

### 5.4. Researcher responsibilities

5.4.1 In accordance with the Code, researchers have a responsibility to:

- (a) promote and support a culture of responsible research conduct;
- (b) promote and undertake regular training in responsible research practices;
- (c) comply with relevant laws, regulations, disciplinary standards, ethics guidelines and the university policies and procedures that relate to responsible research conduct;
- (d) obtain all approvals prior to the commencement of research and ensure conditions of approvals are adhered to;
- (e) ensure that the ethics principles of research merit and integrity, justice, beneficence and respect (as outlined in the National Statement) are applied to human research;
- (f) engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols;
- (g) ensure that the 3Rs (Replacement, Reduction and Refinement) are considered in all activities that use animals for scientific purposes, that the impact on animals is minimised, and that the wellbeing and welfare of those animals is supported at all times;
- (h) adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results; and
- (i) adhere to the standards of responsible research conduct as outlined in section 5.5 of this policy.

### 5.5. Standards of responsible research conduct

#### 5.5.1 Management of research data and primary materials

5.5.1.1 Research data and materials generated from a research project hosted by the University resides with the University and not the researcher or funding body, subject to any written agreement between the researcher and the University, or the University and a third party. Regardless of ownership, the University as the institution hosting the research remains the custodian of the research data, materials and records both during the research project and after the project has been finalised.

5.5.1.2 Subject to any contractual arrangements, privacy or confidentiality considerations, researchers may retain copies of research data, materials and related records as per the Research Data Management – Procedures.

5.5.1.3 The University will provide access to facilities for secure storage and management of research data, records and primary materials.

5.5.1.4 Research data, materials and related records must be stored in repositories approved by the University with appropriate data management plans in place as per the Research Data Management – Procedures. In cases where it is not possible to use the available data storage facilities, the researcher must seek approval for alternative storage as per the Research Data Management – Procedures.

5.5.1.5 For collaborative research projects, an agreement covering the arrangements of data storage must be established prior to the commencement of the research.

5.5.1.6 Researchers must keep clear, accurate, secure and complete records of all research, including research data and primary materials, in accordance with relevant privacy and public records legislation, university policy and the Research Data Management - Procedures.

5.5.1.7 Researchers must comply with any ethics or contractual confidentiality conditions relating to the research data and materials and related records and familiarise themselves with any legislative and regulatory requirements.

5.5.1.8 Research data must be of sufficient detail to justify research outcomes and enable verification of the research results and must meet the minimum retention requirements as specified in the Queensland State Archives *University Sector Retention and Disposal Schedule*.

5.5.1.9 Subject to any confidentiality, contractual, privacy or patent protection requirements, access and reference to research data and materials must be permitted.

5.5.1.10 Research data generated by research involving Aboriginal and Torres Strait Islander peoples and communities must only be permitted access or be reused by consultation with its Indigenous owners. Researchers must consult the NHMRC guidelines framework when working on research with Aboriginal and Torres Strait Islander Peoples and communities.

5.5.1.11 In the event that results from research are challenged, or where records may be subject to an investigation of a breach of the Code and/or university policy, all associated research data, materials and related records must be retained.

5.5.1.12 Disposal of research data and materials must be in accordance with relevant legislative requirements, university policy and the Research Data Management – Procedures.

5.5.1.13 Where researchers move between institutions, they must establish agreements regarding the research data in accordance with the Research Data Management – Procedures.

## 5.5.2 Research supervision

5.5.2.1 The University will ensure that supervisors of research trainees have the adequate skills, qualifications and resources to effectively mentor those under their supervision, including early career researchers, HDR candidates and other research students. Supervisors of HDR candidates must act in accordance with the Higher Degree by Research Supervision – Procedures.

5.5.2.2 The University will provide regular training for all researchers in responsible research practices, supervisory practices and related policies and legislation.

5.5.2.3 Supervisors must provide guidance and mentorship on responsible research practices to their supervisees (such as ethics, funding and reporting research outcomes), and, where appropriate, monitor their conduct.

5.5.2.4 Supervisors must display and promote to their students, professionalism, integrity and mutual respect.

5.5.2.5 Supervisors must offer their students authorship in cases where the student meets the authorship criteria outlined in section 5.5.3 of this policy and the Authorship and Dissemination of Research Findings – Procedures.

5.5.2.6 Where possible, authorship arrangements must be agreed upon at the initial stages of the student's project and reviewed throughout the project as outlined in section 5.5.3 of this policy and the Authorship and Dissemination of Research Findings – Procedures.

5.5.2.7 Supervisors must assist those under their supervision in developing appropriate peer review skills.

5.5.2.8 Supervisors must ensure that discipline-based research methods and other relevant skills, such as the ability to interact with industry and to work with diverse communities, is incorporated into the research training experience.

5.5.2.9 Researchers under supervision must work cooperatively with their supervisor/s in a professional manner and take a proactive approach to their own professional development by participating in relevant training and by seeking out relevant training opportunities.

## 5.5.3 Authorship and dissemination of research findings

5.5.3.1 Authorship must be offered only to those who have made a significant intellectual or scholarly contribution to the research output, as per section 5.5.3.3 below, and who agree to be listed as an author. This includes research students and early career researchers.

5.5.3.2 A significant intellectual or scholarly contribution must include one, and should include a combination of two or more, of the following:

(a) conception and design of the project or output;

(b) acquisition of research data where the acquisition has required significant intellectual judgement, planning, design, or input;

(c) contribution of knowledge, where justified, including Aboriginal and Torres Strait Islander knowledge; \_\_\_\_\_

(d) analysis or interpretation of research data; and

(e) drafting significant parts of the research output or critically revising it in a way that contributes to the interpretation.

5.5.3.3 Some journals and disciplines may require authors to meet more than one of the criteria listed in 5.5.3.2 to be included as an author. As such, researchers are expected to familiarise themselves with the authorship requirements of their discipline to ensure their authorship practices are consistent with established disciplinary practices.

5.5.3.4 Those who meet the criteria for authorship must not be included or excluded without their permission as outlined in the Authorship and Dissemination of Research Findings – Procedures.

5.5.3.5 Researchers must acknowledge those who have contributed to the research as outlined in the Authorship and Dissemination of Research Findings – Procedures.

5.5.3.6 Authorship arrangements must be transparent, agreed upon at the initial stages of the project, and reviewed throughout the project as per the Authorship and Dissemination of Research Findings – Procedures.

5.5.3.7 Authors must be aware of and declare any actual, potential or perceived conflicts of interest, such as sources of funding or commercial interests or affiliations, when confirming their authorship contribution.

5.5.3.8 General supervisors of research teams or research students, individuals holding positions of authority, or those providing routine assistance must not be included as authors unless they have made a significant intellectual or scholarly contribution as outlined in 5.5.3.3.

5.5.3.9 When publishing Aboriginal and Torres Strait Islander knowledge, researchers must seek approval from people involved in a research project or from the community in which knowledge originates in accordance with the Authorship and Dissemination of Research Findings – Procedures and Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities.

5.5.3.10 Researchers must cite and acknowledge other relevant work appropriately and accurately when disseminating research findings.

5.5.3.11 Researchers are expected to disseminate research findings responsibly, accurately and broadly as per the Authorship and Dissemination of Research Findings – Procedures.

5.5.3.12 Researchers must consider confidentiality requirements, intellectual property, contract requirements and/or culturally sensitive material when publishing or disseminating research findings.

5.5.3.13 In cases where an error or anomaly has been identified in a publication or in the research findings, researchers must act to correct the record as soon as practicable.

5.5.3.14 In cases where an error, anomaly or breach of the Code and/or university policy has been identified in a publication or in the research findings, every effort will be made to correct the record as soon as practicable.

#### 5.5.4 Peer review

5.5.4.1 The University encourages participation in peer review to help maintain high standards of research output and to provide public credibility to the reporting of research.

5.5.4.2 Researchers must participate in peer review in a way that is fair, rigorous and timely.

5.5.4.3 Researchers must maintain confidentiality and not disclose the content of the work being reviewed or use information obtained for personal advantage.

5.5.4.4 Researchers must act appropriately and respectfully when conducting a peer review and must not use the process to disparage other researchers.

5.5.4.5 Researchers should not peer review research for which they have a conflict of interest. In cases where conflicts cannot be avoided, for example, limited availability of reviewers with relevant expertise, the conflict must be disclosed and appropriately managed in accordance with section 5.5.5 of this policy.

5.5.4.6 Researchers must review research objectively, impartially and in accordance with the review criteria.

5.5.4.7 Researchers must not agree to participate in peer review where the research is outside their area of expertise.

5.5.4.8 Researchers whose work is being peer reviewed must not influence the process or the outcome.

5.5.4.9 Researchers must help develop the peer review skills of HDR candidates and early career researchers under their supervision.

5.5.4.10 Researchers must also follow any policies and guidelines provided by funding agencies and publishers, if applicable.

## 5.5.5 Disclosure of interests

5.5.5.1 Researchers must disclose and manage actual, potential or perceived conflicts of interest that may compromise or influence their research in accordance with the Conflict of Interest – Governing Policy and the *Disclosure of interests and management of conflicts of interest guide*.

5.5.5.2 Researchers must disclose all interests that are or appear to be relevant to proposed or ongoing research. Researchers may also need to declare relevant interests to funding bodies, research participants, publishers and journal editors, collaborators and the public.

5.5.5.3 Researchers may also need to declare financial interests when they relate to a member of the researcher's immediate family.

5.5.5.4 Researchers must also consider any potential financial benefits when considering conflicts of interest, such as proceeds from the sale of intellectual property arising from a project or the promise of shares in a spin-off company.

5.5.5.5 Researchers are required to maintain records of activities that may be relevant to the assessment of whether a conflict of interest exists.

5.5.5.6 Researchers are required to disclose any new interest in a timely fashion and to update any disclosures of interest as circumstances change.

5.5.5.7 Researchers must comply with any disclosure of interest policies and procedures of external bodies of which they engage or are affiliated with.

## 5.5.6 Collaborative research

5.5.6.1 The University supports collaboration between researchers, institutions, and industry where the research is appropriately managed via an agreement, and where relevant, in accordance with Management of Contracts and Memoranda of Understanding (MOUs) – Governing Policy, External Research Grants – Academic Policy and External Research Grants – Procedures.

5.5.6.2 Researchers working on international collaborations must comply with the Code and relevant university policies and legislation, in addition to any other relevant standards, such as the collaborator's policies. If departures from standard Australian practices are required while overseas, researchers must seek approval from the Deputy Vice-Chancellor (Research and Innovation) prior to the research activity.

5.5.6.3 Chief investigators must be engaged in the process of developing and monitoring agreements for their collaborative research projects. Agreements must cover intellectual property, confidentiality and copyright issues, commercialisation, foreign interference, conflicts of interest, ethics and/or other relevant clearance, reporting, data management, protocols for authorship and dissemination of research findings. Other members of the research team should be involved as appropriate.

5.5.6.4 In addition to a formal agreement, researchers must also keep copies of relevant negotiations with collaborators.

5.5.6.5 All researchers involved in a collaborative research project must familiarise themselves with the formal agreement and comply with any contractual arrangements and related policies and legislation.

## 5.6. Breaches of responsible research conduct

5.6.1 Departures from responsible research practices as outlined in the Code, this policy and/or other related procedures and legislation may constitute a breach and will be managed in accordance with Managing and Investigating Breaches of Responsible Research Conduct – Procedures and the Investigation Guide.

5.6.2 Breaches deemed to also be intentional or reckless or negligent may be referred to as research misconduct.

5.6.3 Examples of breaches may include, but are not limited to, the following:

(a) not meeting required standards, for example, conducting research without ethics approval and/or the appropriate permits or licences, misuse of research funds, concealment or facilitation of breaches or potential breaches;

(b) fabrication, falsification, or misrepresentation;

(c) plagiarism (including the denial of authorship which may raise the potential for plagiarism);

(d) failure to adhere to responsible data management practices, for example, inappropriate destruction or disclosure of research records or failure to maintain research records;

(e) failure to provide adequate guidance on responsible research practices to researchers or research students under supervision;

(f) failure to offer authorship to others when they meet the criteria, or to acknowledge the contribution of others fairly, or to offer authorship to those who do not qualify, or to claim authorship without having made a significant intellectual or scholarly contribution;

(g) failure to disclose and manage relevant interests and/or to comply with management decisions regarding conflicts of interest; and

(h) failure to participate in peer review in a fair and responsible way.

5.6.4 Researchers have an obligation to report suspected breaches of the Code and/or related university policies and legislation and are required to follow the process outlined in Managing and Investigating Breaches of Responsible Research Conduct – Procedures when doing so.

5.6.5 The University will facilitate the prevention and detection of potential breaches of responsible research conduct through training, education, an RIA network, experienced supervisors and mentors, and an effective complaints management and investigation procedure.

5.6.6 The University will support the welfare of all parties involved when managing and investigating breaches of the Code and/or related policies or procedures.

5.6.7 Management and investigation of breaches in collaborative research projects will be assessed on a case-by-case basis depending on the lead institution, contractual arrangements, where the events occurred, where the complaint was lodged, and relevant international research practices.

5.6.8 The University will ensure that the process for managing and investigating breaches is timely, effective and procedurally fair and is undertaken in accordance with Managing and Investigating Breaches of Responsible Research Conduct – Procedures and the Investigation Guide.

5.6.9 The University will base investigation findings on the balance of probabilities and ensure any outcomes are commensurate with the degree of departure from the Code and/or related policies or procedures.

5.6.10 In cases where a complaint relates to activities that have (or have the potential to) harm humans, animals or the environment, immediate action will be taken to minimise the risk of harm. In such cases, it may also be necessary to inform relevant external agencies and/or manage the matter in accordance with relevant university governance, human resources and/or student conduct policies.

5.6.11 In cases where a breach involves potentially corrupt or criminal behaviour, the matter will be managed in accordance with relevant university governance, human resources and/or student conduct policies, as appropriate. Such matters may also be referred to an external agency to investigate where relevant.

END

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## RELATED DOCUMENTS

- Animal Ethics - Governing Policy
- Animal Ethics - Procedures
- Compliance Management Framework - Governing Policy
- Conflict of Interest - Governing Policy
- Externally Funded Research - Academic Policy
- Externally Funded Research - Procedures
- Fraud and Corruption Control - Governing Policy
- Fraud and Corruption Control - Procedures
- Higher Degrees by Research Supervision - Procedures
- Human Research Ethics - Governing Policy
- Human Research Ethics - Procedures
- Information and Records Management - Procedures
- Information Management - Governing Policy
- Intellectual Property - Governing Policy
- Managing and Investigating Breaches of Responsible Research Conduct - Procedures
- Public Interest Disclosures - Governing Policy
- Public Interest Disclosures - Procedures
- Research Data Management - Procedures
- Student Conduct - Governing Policy
- Student Grievance Resolution - Governing Policy
- Student Review and Appeals - Procedures

## LINKED DOCUMENTS

- Authorship and Dissemination of Research Findings - Procedures
- Managing and Investigating Breaches of Responsible Research Conduct - Procedures
- Research Data Management - Procedures

## SUPERSEDED DOCUMENTS

- Research - Academic Policy
- Research Misconduct - Governing Policy

## RELATED LEGISLATION / STANDARDS

- Public Records Act 2002 (Qld)
- Privacy Act 1988 (Cth)
- Australian Code for the Responsible Conduct of Research (2018)
- Australian code for the care and use of animals for scientific purposes 8th edition (2013)
- National Statement on Ethical Conduct in Human Research
- Information Privacy Act 2009 (Qld)
- Ethical conduct in research with Aboriginal & Torres Strait Islander Peoples & communities: Guideline
- National Principles of IP Management for Publicly Funded Research
- Defence Trade Controls Act 2012
- Guidelines for Ethical Research in Australian Indigenous Studies
- Foreign Influence Transparency Scheme Act 2018 (Cwlth)