

Research Integrity Policy

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1. Purpose

- a. Integrity is one of the University's four [core values](#) which define the way the Flinders University community carries out its work and study.
- b. Integrity in research requires adhering to the principles and responsibilities specified in the [Australian Code for the Responsible Conduct of Research](#) (the "Code"), which the University comprehensively adopts as its own framework for responsible research conduct in order to provide "a foundation for high-quality research, credibility and community trust in the research endeavour"¹ as carried out at Flinders University.

2. Scope

- a. This Research Integrity Policy applies to all researchers at Flinders University, namely:
 - i. all staff
 - ii. all [academic status holders](#), and
 - iii. all higher degree by research (HDR) students

—in respect of their Flinders University-related research activities, including their supervision of student research activities.
- b. The [Student Academic Integrity Policy](#) applies to all coursework students, including students in an honours course or a postgraduate coursework course with a research component.

3. Definitions

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

¹ Code, p.1.

4. Principles and researcher responsibilities

- a. The requirements of research integrity are encompassed in the principles and responsibilities specified in the [Code](#).
- b. These principles and responsibilities are reproduced in [Schedule 1](#) to put beyond doubt that they are adopted by Flinders University in respect of all Flinders University-related research conducted by staff, academic status holders or HDR students.
- c. Failure to abide by these principles and responsibilities constitutes a breach of research integrity—examples of what constitutes a breach are contained in [Schedule 2](#).

5. Breach of Code

- a. A complaint of a potential breach of the Code will be dealt with in accordance with:
 - i. the processes specified in the [Breach of Research Integrity Procedures](#), and
 - ii. the principles of procedural fairness, as stated in the [Investigation Guide](#).
- b. A serious breach which is also intentional, reckless or negligent will be regarded as Research Misconduct.
- c. The consequences of a proven breach, including Research Misconduct, by a **staff member** to whom the relevant disciplinary clauses of the Enterprise Agreement apply,² are as specified in those clauses.
- d. The consequences of a proven breach, including Research Misconduct, by a probationary or casual **staff member** or an **academic status holder** are as determined by the relevant decision-maker under the [Breach of Research Integrity Procedures](#), and may, in the case of proven Research Misconduct, include termination of employment or academic status.
- e. The consequences of a proven breach, including Research Misconduct, by an **HDR student** are as determined by the relevant decision-maker under the [Breach of Research Integrity Procedures](#), and may, in the case of proven Research Misconduct, include termination of the student's candidature and permanent expulsion from the University.
- f. **Confidentiality** – All documentation relating to a complaint of potential breach of the Code is kept confidential and only disclosed to those persons who have a role in the breach assessment and investigation process, or as required by law, or where all parties provide express and informed consent to disclosure.

6. Authorities

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| Deputy Vice-Chancellor (Research) | Amend Schedules 1 and 2 as required (noting that columns 1 and 2 of Schedule 1 can only be changed if the corresponding section(s) of the Code change). |
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7. Supporting procedures

Supporting procedures are part of this policy and provide additional detail to give practical effect to the policy principles.

[Breach of Research Integrity Procedures](#)

² i.e. all staff members except those under probation or employed on a casual basis

8. Related policies and documents

Internal:

[Enterprise Agreement](#)

[Management of Research Data and Primary Materials Policy](#)

[Research Publication, Authorship and Peer Review Policy](#)

[Other policies listed under Research in the Policy Library](#)

External:

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

The various supplementary guides issued under and supporting the Code (*to be listed when finalised*)

[National Statement on Ethical Conduct in Human Research](#) and related [guidelines](#)

[Australian Code for the Care and Use of Animals for Scientific Purposes](#)

[Statement on Consumer and Community Participation in Health and Medical Research](#)

[Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#)

[ARC Research Integrity Policy](#)

[NHMRC Research Integrity and Misconduct Policy](#)

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*** Unless otherwise indicated, this procedure will still apply beyond the review date.**

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Schedule 1—Research integrity: principles and researcher responsibilities under the Code³

| 1. Principles as specified in the Code | 2. Researcher responsibilities | 3. Applicable University policies and procedures |
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| <p>P1 Honesty in the development, undertaking and reporting of research</p> <ul style="list-style-type: none"> Present information truthfully and accurately in proposing, conducting and reporting research. | <p>R17 Comply with the relevant laws, regulations, disciplinary standards, ethics guidelines and institutional policies related to responsible research conduct.</p> | <p>University Values Charter for HDR Student and Supervisor Responsibilities</p> |
| <p>P2 Rigour in the development, undertaking and reporting of research</p> <ul style="list-style-type: none"> Underpin research by attention to detail and robust methodology, avoiding or acknowledging biases. | <p>R21 Adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results.</p> | <p>Management of Research Data and Primary Materials Policy</p> |
| <p>P3 Transparency in declaring interests and reporting research methodology, data and findings</p> <ul style="list-style-type: none"> Share and communicate research methodology, data and findings openly, responsibly and accurately. Disclose and manage conflicts of interest. | <p>R22 Retain clear, accurate, secure and complete records of all research including research data and primary materials. Where possible and appropriate, allow access and reference to these by interested parties.</p> <p>R23 Disseminate research findings responsibly, accurately and broadly. Where necessary, take action to correct the record in a timely manner.</p> <p>R24 Disclose and manage actual, potential or perceived conflicts of interest.</p> <p>R28 Participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content.</p> | <p>Management of Research Data and Primary Materials Policy</p> <p>Conflict of Interest Policy</p> <p>Peer Review: A Guide supporting the Australian Code for Responsible Conduct of Research (2018 NHMRC) — applicable in full to Flinders University (<i>still in draft</i>).</p> |
| <p>P4 Fairness in the treatment of others</p> <ul style="list-style-type: none"> Treat fellow researchers and others involved in the | <p>R25 Ensure that authors of research outputs are all those, and only those, who have made a significant intellectual or scholarly contribution to the research and its</p> | <p>Research Publication, Authorship and Peer Review Policy</p> |

³ Principles and researcher responsibilities are a verbatim extract from the National Health and Medical Research Council (2018), [Australian Code for the Responsible Conduct of Research](#), pages 2 and 4, though the matching of responsibilities to principles is the work of Flinders University.

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| <p>research fairly and with respect.</p> <ul style="list-style-type: none"> • Appropriately reference and cite the work of others. • Give credit, including authorship where appropriate, to those who have contributed to the research. | <p>output, and that they agree to be listed as an author.</p> <p>R26 Acknowledge those who have contributed to the research.</p> <p>R27 Cite and acknowledge other relevant work appropriately and accurately.</p> | |
| <p>P5 Respect for research participants, the wider community, animals and the environment</p> <ul style="list-style-type: none"> • Treat human participants and communities that are affected by the research with care and respect, giving appropriate consideration to the needs of minority groups or vulnerable people. • Ensure that respect underpins all decisions and actions related to the care and use of animals in research. • Minimise adverse effects of the research on the environment. | <p>R17 Ensure that appropriate approvals are obtained prior to the commencement of research, and that conditions of any approvals are adhered to during the course of research.</p> <p>R18 Ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research.</p> <p>R20 Ensure that the 3Rs (Replacement, Reduction and Refinement) are considered at all stages of research involving animals and minimise the impacts on animals used in research and in so doing support the welfare and wellbeing of these animals.</p> | <p>University requirements in respect of:</p> <ul style="list-style-type: none"> • Animal Ethics • Human Ethics • Biosafety • Biosecurity • Defence Trade or Export Controls • Radiation • Work Health and Safety <p>and, where applicable, any requirements of institutions or entities involved in or supporting the research project</p> |
| <p>P6 Recognition of the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them</p> <ul style="list-style-type: none"> • Recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples. • Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they freely make decisions about their involvement. • Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged. | <p>R19 Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols.</p> | <p>NHMRC ethical guidelines for research with Aboriginal and Torres Strait Islander Peoples — applicable in full to Flinders University, plus any approval requirements that may be applicable to individual research projects</p> |

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| <p>P7 Accountability for the development, undertaking and reporting of research</p> <ul style="list-style-type: none"> • Comply with relevant legislation, policies and guidelines. • Ensure good stewardship of public resources used to conduct research. • Consider the consequences and outcomes of research prior to its communication. | <p>See all Responsibilities 14-29</p> | <p>Management of Research Data and Primary Materials Policy</p> |
| <p>P8 Promotion of responsible research practices</p> <ul style="list-style-type: none"> • Promote and foster a research culture and environment that supports the responsible conduct of research. | <p>R14 Support a culture of responsible research conduct at their institution and in their field of practice.</p> <p>R15 Provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct.</p> <p>R16 Undertake and promote education and training in responsible research conduct.</p> <p>R29 Report suspected breaches of the Code to the relevant institution and/or authority.</p> | <p>Charter for HDR Student and Supervisor Responsibilities Role statements of Deans (Research) and Research Integrity Advisors</p> <p>Breach of Research Integrity Procedures</p> |

Schedule 2—Examples of breach of research integrity requirements⁴

- a. A breach is defined as a failure to meet the principles and responsibilities of the Code, and may refer to a single breach or multiple breaches.
- b. Examples of breaches of the Code include, but are not limited to, the following:
- i. **Not meeting required research standards**
 - Conducting research without ethics approval as required by the *National Statement on Ethical Conduct in Human Research* and the *Australian Code for the Care and Use of Animals for Scientific Purposes*
 - Failing to conduct research as approved by an appropriate ethics review body
 - Conducting research without the requisite approvals, permits or licences
 - Misuse of research funds
 - Concealment or facilitation of breaches (or potential breaches) of the Code by others
 - ii. **Fabrication, falsification, misrepresentation**
 - Fabrication of research data or source material
 - Falsification of research data or source material
 - Misrepresentation of research data or source material
 - Falsification and/or misrepresentation to obtain funding
 - iii. **Plagiarism**
 - Plagiarism of someone else's work, including theories, concepts, research data and source material
 - Duplicate publication (also known as redundant or multiple publication, or self-plagiarism) without acknowledgment of the source
 - iv. **Research data management**
 - Failure to appropriately maintain research records
 - Inappropriate destruction of research records, research data and/or source material
 - Inappropriate disclosure of, or access to, research records, research data and/or source material
 - v. **Supervision**
 - Failure to provide adequate guidance or mentorship on responsible research conduct to researchers or research trainees under their supervision
 - vi. **Authorship**
 - Failure to acknowledge the contributions of others fairly
 - Misleading ascription of authorship including failing to offer authorship to those who qualify or awarding authorship to those who do not meet the requirements
 - vii. **Conflicts of interest**
 - Failure to disclose and manage conflicts of interest
 - viii. **Peer review**
 - Failure to conduct peer review responsibly

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| Approval Authority | Deputy Vice-Chancellor (Research), as per s.6 Research Integrity Policy |
| Approval Date | 28 June 2019 |

⁴ A verbatim extract from the National Health and Medical Research Council (2018), [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#), section 2.1, pages 4-5