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

<table>
<thead>
<tr>
<th>Code</th>
<th>The Australian Code for the Responsible Conduct of Research</th>
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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

| 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). |

7. Supporting procedures

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

Authorship of Research Output Procedures
Breach of Research Integrity Procedures
Research Data Management 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
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
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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<tr>
<th>Approval Authority</th>
<th>Academic Senate</th>
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<tbody>
<tr>
<td>Responsible Officer</td>
<td>Deputy Vice-Chancellor (Research)</td>
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<tr>
<td>Approval Date</td>
<td>18 January 2023</td>
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<td>Effective Date</td>
<td>18 January 2023</td>
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<td>CM file number</td>
<td>CF15/605</td>
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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 Code

<table>
<thead>
<tr>
<th>1. Principles as specified in the Code</th>
<th>2. Researcher responsibilities</th>
<th>3. Applicable instruments</th>
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</table>
| **P1 Honesty** in the development, undertaking and reporting of research  
- Present information truthfully and accurately in proposing, conducting and reporting research. | **R17** Comply with the relevant laws, regulations, disciplinary standards, ethics guidelines and institutional policies related to responsible research conduct. | University Values Charter for HDR Student and Supervisor Responsibilities |
| **P2 Rigour** in the development, undertaking and reporting of research  
- Underpin research by attention to detail and robust methodology, avoiding or acknowledging biases. | **R21** Adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results. | Research Data Management Procedures Publication and dissemination of research: A Guide supporting the Australian Code for Responsible Conduct of Research (2018 NHMRC) — s.4 Responsibilities of researchers applicable in full to Flinders University |
| **P3 Transparency** in declaring interests and reporting research methodology, data and findings  
- Share and communicate research methodology, data and findings openly, responsibly and accurately.  
- Disclose and manage conflicts of interest. | **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.  
**R23** Disseminate research findings responsibly, accurately and broadly. Where necessary, take action to correct the record in a timely manner.  
**R24** Disclose and manage actual, potential or perceived conflicts of interest.  
**R28** Participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content. | Research Data Management Procedures Publication and dissemination of research: A Guide supporting the Australian Code for Responsible Conduct of Research (2018 NHMRC) — s.4 Responsibilities of researchers applicable in full to Flinders University Conflict of Interest Policy |
| **P4 Fairness** in the treatment of others | **R25** Ensure that authors of research outputs are all those, and only those, who have made a | Authorship of Research Output Procedures |

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.
<table>
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<tr>
<td>• Treat fellow researchers and others involved in the research fairly and with respect.</td>
<td>significant intellectual or scholarly contribution to the research and its output, and that they agree to be listed as an author.</td>
<td><strong>Collaborative research: A Guide supporting the Australian Code for Responsible Conduct of Research (2018 NHMRC) — s.4</strong> Responsibilities of researchers applicable in full to Flinders University</td>
</tr>
<tr>
<td>• Appropriately reference and cite the work of others.</td>
<td><strong>R26</strong> Acknowledge those who have contributed to the research.</td>
<td><strong>Publication and dissemination of research: A Guide supporting the Australian Code for Responsible Conduct of Research (2018 NHMRC) — s.4</strong> Responsibilities of researchers applicable in full to Flinders University</td>
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<td>• Give credit, including authorship where appropriate, to those who have contributed to the research.</td>
<td><strong>R27</strong> Cite and acknowledge other relevant work appropriately and accurately.</td>
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<td><strong>P5 Respect for research participants, the wider community, animals and the environment</strong></td>
<td><strong>R17</strong> 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.</td>
<td><strong>University requirements in respect of:</strong></td>
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<td>• 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.</td>
<td><strong>R18</strong> Ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research.</td>
<td>• Animal Ethics</td>
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<td>• Ensure that respect underpins all decisions and actions related to the care and use of animals in research.</td>
<td><strong>R20</strong> 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.</td>
<td>• Human Ethics</td>
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<td>• Minimise adverse effects of the research on the environment.</td>
<td><strong>R19</strong> Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols.</td>
<td>• Biosafety</td>
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<td><strong>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</strong></td>
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<td>• Biosecurity</td>
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<td>• Recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples.</td>
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<td>• Defence Trade or Export Controls</td>
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<td>• Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that</td>
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<td>• Autonomous Sanctions</td>
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<td>• Foreign Interactions</td>
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<td>• Work Health and Safety</td>
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<td>and, where applicable, any requirements of institutions or entities involved in or supporting the research project</td>
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**NHMRC ethical guidelines for research with Aboriginal and Torres Strait Islander Peoples and AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research 2020** — applicable in full to Flinders University, plus any approval requirements that may be applicable to individual research projects

**Collaborative research: A Guide supporting the Australian Code for Responsible Conduct of Research (2018 NHMRC) — s.4** Responsibilities of researchers
<table>
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| they freely make decisions about their involvement.  
  • Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged. | See all Responsibilities 14-29 | applicable in full to Flinders University |

**P7 Accountability** for the development, undertaking and reporting of research  
• 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.

**P8 Promotion** of responsible research practices  
• Promote and foster a research culture and environment that supports the responsible conduct of research.

**R14** Support a culture of responsible research conduct at their institution and in their field of practice.  
**R15** Provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct.  
**R16** Undertake and promote education and training in responsible research conduct.  
**R29** Report suspected breaches of the Code to the relevant institution and/or authority.

**Charter for HDR Student and Supervisor Responsibilities**  
Role statements of Deans (Research) and Research Integrity Advisors  
**Breach of Research Integrity Procedures**
## Schedule 2—Examples of breach of research integrity requirements

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.

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 (e.g. honorary authorship, paying for authorship)

### 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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<tr>
<th>Approval Authority</th>
<th>Deputy Vice-Chancellor (Research), as per s.6 Research Integrity Policy</th>
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