

# CODE OF CONDUCT FOR RESEARCH



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## 1 PURPOSE

- 1.1 This Code establishes the framework for managing CQUniversity’s responsibilities to conduct research ethically, responsibly, with integrity, and in compliance with the [Australian Code for the Responsible Conduct of Research](#).

## 2 SCOPE

- 2.1 This document applies to researchers (including employees, students or visitors), research supervisors and research administrators at CQUniversity.

## 3 CODE STATEMENT

- 3.1 The University follows the principles set out in the Australian Code for the Responsible Conduct of Research. Specifically, that research conducted at or by the University will adhere to the principles of:
- **Honesty** in the development, reporting and undertaking of research
  - **Rigour** in the development, reporting and undertaking of research
  - **Transparency** in declaring interests and reporting research methodology, data and findings
  - **Fairness** in the treatment of others

- **Respect** for research participants, the wider community, animals and the environment
- **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
- **Accountability** for the development, undertaking and reporting of research
- **Promotion** of responsible research practices.

## Responsibilities and due care

- 3.2 The University aims to maintain the highest standards of integrity and professionalism in research conducted by University personnel, visitors and research higher degree candidates (jointly identified as 'researchers').
- 3.3 Researchers are responsible for ensuring they are familiar with the Australian Code for the Responsible Conduct of Research, this document, and any Codes of Conducts appropriate to their discipline area.
- 3.4 Observance of such codes, and accepted norms of honesty and integrity must underline all decisions and actions regarding the conduct of research at the University.
- 3.5 The Australian Code for the Responsible Conduct of Research is accompanied by a number of Guides which support the Australian Code and have been produced to assist adherence to the principles contained in the Australian Code.
- 3.6 [Appendix A](#) provides a visual representation of the Australian Code for the Responsible Conduct of Research principles, and the accompanying University and researcher responsibilities.

## Authorship

- 3.7 To be named as an author of a research output a researcher must meet the criteria for authorship and agree to be named as an author of that output.
- 3.8 Criteria for authorship, responsibilities of authors (including corresponding authors) and the procedure for recording and maintaining authorship records are set out in the [Assignment of Authorship Policy](#).

## Peer review

- 3.9 The impartial and independent assessment of research by others constitutes peer review and is encouraged by the University.
- 3.10 Researchers participating in peer review must conduct their review:
- in a fair and timely manner
  - in confidence and not disclose content or outcome without permission
  - declare all conflicts of interest, not permit personal prejudice to influence the process, and not introduce considerations that are not relevant to the review criteria
  - do not take undue or calculated advantage of knowledge obtained during the peer review process
  - ensure they are informed about, and comply with, the criteria being applied, and
  - give proper consideration to research that challenges or changes accepted thinking.
- 3.11 Researchers in receipt of public funding may be required to participate in peer review as a condition of funding.
- 3.12 Researchers whose work is undergoing peer review must not interfere with the process or outcomes.

## Conflict of interest

- 3.13 Researchers have an obligation to disclose and manage actual, potential or perceived conflicts of interest.

- 3.14 Procedures for testing, disclosing and managing conflicts of interest are set out in the [Conflict of Interest Policy and Procedure](#).

### **Management of research data**

- 3.15 The responsible conduct of research encompasses the appropriate generation, collection, access, use, analysis, disclosure, storage, retention, disposal, share and re-use of data and information.
- 3.16 The [Research Data Management Policy and Procedure](#) sets out the University's requirements for the responsible conduct of research in relation to research data and information management.

### **Publication and dissemination of research findings**

- 3.17 Researchers have a moral and legal obligation to perform valued, rigorous research that is accurately communicated to their peers and, as appropriate, the wider community.
- 3.18 All work submitted for publication or dissemination must contain:
- appropriate acknowledgement of all participants, and
  - information on sources of financial support for and sponsorship of the research upon which the publication or communication is based.
- 3.19 The [Open Access for Research Outputs Policy](#) sets out requirements for researchers for the submission and dissemination of University research outputs.
- 3.20 Researchers must, where feasible, provide research participants with an appropriate summary of the research results (for example, in accordance with the Statement on Consumer and Community Involvement in Health and Medical Research).
- 3.21 Researchers must disseminate a full account and complete copy of their research, and where applicable, include negative findings or results contrary to their hypothesis.
- 3.22 Researchers must take all reasonable steps to ensure that their findings are accurate and properly reported. If they become aware of misleading or inaccurate statements about their work, they must act to ensure any published records (e.g. journal papers, conference abstracts, industry reports) are corrected or retracted as soon as possible.
- 3.23 The work of others must be cited accurately and appropriately.
- 3.24 The submission of similar or the same work that is already published or under consideration for publishing must be disclosed at the time of submission.
- 3.25 Researchers must register clinical trials with a recognised register to promote access to information about clinical trials.
- 3.26 The University and researchers must protect confidentiality and manage intellectual property, including:
- ensuring that all parties to research are aware of the nature and scope of confidentiality agreements
  - that intellectual property rights of the institution, the researcher, research trainees and sponsors of research are managed and protected in accordance with the University's [Intellectual Property and Moral Rights Policy](#) and contractual agreements for intellectual property
  - that sponsors of research understand the importance of publication and do not restrict publication any longer than is necessary to protect intellectual property or other relevant interests, and
  - that contractual arrangements restricting, delaying or limiting publication are adhered to.

## Ethics

- 3.27 Human participation in research will be governed by the National Health and Medical Research Council's (NHMRC) [National Statement on Ethical Conduct in Human Research](#) and the [Ethical Conduct in research with Aboriginal and Torres Strait Islander Peoples and communities](#). In order to receive approval from the University's Human Research Ethics Committee, such research must embrace, as appropriate, principles of free and informed consent, confidentiality, right to withdraw, and access to results by the research participants.
- 3.28 Researchers must be sensitive to the diversity of communities from which research participants/subjects may be drawn. In particular, research which is specific to and/or involves participants/subjects who identify with Aboriginal and Torres Strait Islander cultures should not proceed without the support and involvement of the community in which the research is to be conducted.
- 3.29 Research involving animals will be conducted in accordance with the [Australian Code for the Care and Use of Animals for Scientific Purposes](#). Such research will have been approved by the University's Animal Ethics Committee.
- 3.30 Research involving the Great Barrier Reef Marine Park will be conducted in accordance with the University's [Code of Conduct for Research in the Great Barrier Reef Marine Park](#). Such research will be approved by the Vice-President (Research).

## Supervision of research trainees

- 3.31 The Dean of each School will ensure that there is an identified, responsible and appropriately qualified supervisor for each early career researcher academic employee, post-doctoral fellows, research and technical assistants and other associates.
- 3.32 Academic/research employee managers will ensure that a supervising employee has a ratio of trainees to supervisor that is low enough to make provision for effective intellectual interaction and effective oversight of the research at all times.
- 3.33 Supervisors are responsible for imparting to research trainees the principles embodied in this Code and the code for their profession.
- 3.34 Supervisors must provide oversight of the research outcomes from those under their supervision and be satisfied that the research methods and outcomes are appropriate and valid.
- 3.35 Supervisors must ensure that research trainees receive appropriate credit for their work, including in publication of research outputs.
- 3.36 Supervisors of research trainees and research employees must be CQUniversity academic employees and must qualification standards as determined by the relevant academic management and governing bodies. In some cases, the appointment of co-supervisors who are not CQUniversity academic employees may be approved in order to provide appropriate expertise.
- 3.37 As a matter of normal practice, employees should not engage in a supervisory role with individuals with whom they have a close personal relationship. Refer to the University's [Code of Conduct](#).

## Advisors on integrity in research

- 3.38 Each member of the Research Committee (other than research higher degree student members) will be designated as a University adviser on integrity in research.
- 3.39 Advisers on integrity in research are required to:
- be knowledgeable of the Australian Code for the Responsible Conduct of Research, this Code and relevant University policy documents, and
  - provide accurate advice to members of the University community concerning proper research practices, legislative requirements and issues concerning research misconduct or possible breaches of the Australian Code.

## Research misconduct and breaches

- 3.40 The University will ensure that investigations of potential breaches of the Australian Code for the Responsible Conduct of Research, or this Code, are procedurally fair. Investigations will be proportional, fair, impartial, timely, transparent and confidential.
- 3.41 All instances of alleged or suspected research misconduct involving research higher degree candidates or students, including breaches to this Code or plagiarism, will proceed in accordance with the [Research Higher Degree Integrity Policy and Procedure](#).
- 3.42 Complaints concerning a research project involving humans, which has been approved by the Human Research Ethics Committee, will be forwarded to the Chair of the Human Research Ethics Committee.
- 3.43 Where the Human Research Ethics Committee is unable to resolve a complaint concerning an ethically approved research project involving humans, the complaint will be forwarded to the Vice-President (Research).
- 3.44 Complaints concerning a research project involving the use of animals, which has been approved by the Animal Ethics Committee, will be forwarded to the Chair of the Animal Ethics Committee.
- 3.45 Where the Animal Ethics Committee is unable to resolve a complaint concerning an ethically approved research project involving the use of animals, the complaint will be forwarded to the Vice President (Research).
- 3.46 A complaint about a potential breach of the Australian Code for the Responsible Conduct of Research by an employee, where the complaint has not already been forwarded to the Chair of the Human Research Ethics Committee or Animal Ethics Committee, will be forwarded to the Vice-President (Research).

## Breaches of the Australian Code for the Responsible Conduct of Research

- 3.47 Upon receipt of the complaint, the Vice-President (Research) will determine whether the complaint is or may lead to a potential breach of the Australian Code. If it does, the matter will proceed to a Preliminary Assessment.
- 3.48 The Preliminary Assessment will be undertaken in accordance with the procedure set out in the [NHMRC Guide to Managing and Investigating potential breaches of the Australian Code for the Responsible Conduct of Research](#).
- 3.49 If the complaint does not represent a potential breach of the Australian Code, then it may be dismissed or referred to the other University complaint processes.
- 3.50 Upon completion of a Preliminary Assessment, the Vice-President (Research) will determine whether the complaint should be dismissed, referred to other University processes, resolved locally with or without corrective actions, or referred for investigation.
- 3.51 Matters for investigation will be referred to the Director People and Culture by the Vice-President (Research) for investigation, in accordance with [CQUniversity Enterprise Agreement](#) process for investigations of potential misconduct or serious misconduct.

## 4 RESPONSIBILITIES

### Compliance, monitoring and review

- 4.1 The Vice-President (Research) is responsible for implementing, monitoring, reviewing and ensuring compliance with this Code.

### Reporting

- 4.2 Where required by a funding agency, the investigation or determination regarding a breach of the Australian Code for the Responsible Conduct of Research may be required to be reported to that agency.

## Records management

- 4.3 Employees must manage records in accordance with the [Records Management Policy and Procedure](#). This includes retaining these records in a recognised University recordkeeping information system.
- 4.4 University records must be retained for the minimum periods specified in the relevant [Retention and Disposal Schedule](#). Before disposing of any records, approval must be sought from the Records and Privacy Team (email [records@cqu.edu.au](mailto:records@cqu.edu.au)).

## 5 DEFINITIONS

- 5.1 Terms not defined in this document may be in the University [glossary](#).

### Terms and definitions

**Clinical trial:** any research project that prospectively assigns people or a group of people to an intervention, with or without concurrent comparison or control groups, to study the relationship between a health-related intervention and a health outcome.

**Preliminary assessment:** a process instigated by the Vice-President (Research) to gather and evaluate facts and information, and assess whether a complaint, if proven, would constitute a breach of the Australian Code for the Responsible Conduct of Research.

**Research trainee:** employees who have less than five years' experience in a research role. This includes early career researchers, research officers, research workers, and technical employees who are required to undertake activities as part of a research project.

## 6 RELATED LEGISLATION AND DOCUMENTS

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

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

[Assignment of Authorship Policy](#)

[Code of Conduct](#)

[Code of Conduct for Research in the Great Barrier Reef Marine Park](#)

[Conflict of Interest Policy and Procedure](#)

[CQUniversity Enterprise Agreement 2017](#)

[Intellectual Property and Moral Rights Policy](#)

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

[Open Access for Research Outputs Policy](#)

[Research Data Management Policy and Procedure](#)

[Research Higher Degree Integrity Policy and Procedure](#)

[Research involving Humans and/or Animals for Ethical Clearance Policy and Procedure](#)

## 7 FEEDBACK

- 7.1 Feedback about this document can be emailed to [policy@cqu.edu.au](mailto:policy@cqu.edu.au).

## 8 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Academic Board
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Notes	

## 9 APPENDIX A – AUSTRALIAN CODE FOR THE RESPONSIBLE CONDUCT OF RESEARCH

### 8 PRINCIPLES

<p><b>P1 HONESTY</b></p> <p>in the development, undertaking and reporting of research</p>	<p><b>P2 RIGOUR</b></p> <p>in the development, undertaking and reporting of research</p>	<p><b>P3 TRANSPARENCY</b></p> <p>in declaring interests and reporting research methodology, data and findings</p>	<p><b>P4 FAIRNESS</b></p> <p>in the treatment of others</p>	<p><b>P5 RESPECT</b></p> <p>for research participants, the wider community, animals and the environment</p>	<p><b>P6 RECOGNITION</b></p> <p>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>	<p><b>P7 ACCOUNTABILITY</b></p> <p>for the development, undertaking and reporting of research</p>	<p><b>P8 PROMOTION</b></p> <p>of responsible research practices</p>
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### 29 RESPONSIBILITIES

		Institution Responsibilities			Researcher Responsibilities
General Responsibilities	R1	Establish and maintain good governance and management practices for responsible research conduct. 😊😊	General Responsibilities	R14	Support a culture of responsible research conduct at their institution and in their field of practice. 😊😊😊😊😊😊😊😊
	R2	Identify and comply with relevant laws, regulations, guidelines and policies related to the conduct of research. 😊😊😊😊😊😊		R15	Provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct. 😊
	R3	Develop and maintain the currency and ready availability of a suite of policies and procedures which ensure that institutional practices are consistent with the principles and responsibilities of the Code. 😊😊		R16	Undertake and promote education and training in responsible research conduct. 😊
Training / Advice	R4	Provide ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles. 😊	Ethics	R17	Comply with the relevant laws, regulations, disciplinary standards, ethics guidelines and institutional policies related to responsible research conduct. 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. 😊😊😊😊
	R5	Ensure supervisors of research trainees have the appropriate skills, qualifications and resources. 😊😊		R18	Ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research. 😊
	R6	Identify and train Research Integrity Advisors who assist in the promotion and fostering of responsible research conduct and provide advice to those with concerns about potential breaches of the Code. 😊		R19	Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols. 😊😊
Specific Areas	R7	Support the responsible dissemination of research findings. Where necessary, take action to correct the record in a timely manner. 😊😊😊😊😊😊😊😊	Specific Responsibilities	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. 😊
	R8	Provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference. 😊		R21	Adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results. 😊
Investigations	R9	Facilitate the prevention and detection of potential breaches of the Code. 😊😊	Breaches	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. 😊😊
	R10	Provide mechanisms to receive concerns or complaints about potential breaches of the Code. Investigate and resolve potential breaches of the Code. 😊😊		R23	Disseminate research findings responsibly, accurately and broadly. Where necessary, take action to correct the record in a timely manner. 😊😊😊😊😊😊😊😊
	R11	Ensure that the process for managing and investigating concerns or complaints about potential breaches of the Code is timely, effective and in accord with procedural fairness. 😊😊		R24	Disclose and manage actual, potential or perceived conflicts of interest. 😊😊
	R12	Support the welfare of all parties involved in an investigation of a potential breach of the Code. 😊		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 output, and that they agree to be listed as an author. 😊😊
	R13	Base findings of investigations on the balance of probabilities and ensure any actions are commensurate with the seriousness of the breach. 😊		R26	Acknowledge those who have contributed to the research. 😊
				R27	Cite and acknowledge other relevant work appropriately and accurately. 😊😊
				R28	Participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content. 😊😊😊😊
				R29	Report suspected breaches of the Code to the relevant institution and/or authority. 😊😊