

# RESEARCH HIGHER DEGREE INTEGRITY POLICY AND PROCEDURE



## CONTENTS

1	PURPOSE.....	1
2	SCOPE.....	2
3	POLICY.....	3
	Governing principles.....	3
	Integrity in research higher degrees.....	3
	Commitment.....	3
	Responsibilities.....	3
	Key definitions.....	4
	Additional behavioural standards.....	5
	Timing of potential research integrity breaches.....	5
	Identifying and responding to research integrity breaches.....	6
4	PROCEDURE.....	6
	Reporting of allegations and investigating research integrity breaches.....	6
	Deciding if a research integrity breach has occurred.....	7
	Dealing with plagiarism.....	8
	Outcomes and/or penalties for research integrity breaches.....	9
	Provisions relating to international candidates studying in Australia on a student visa.....	10
	Retrospectivity.....	10
	Role of research higher degree supervisors.....	10
	Recording research integrity breaches.....	10
	Appeals.....	11
5	RESPONSIBILITIES.....	11
	Compliance, monitoring and review.....	11
	Reporting.....	11
	Records management.....	12
6	DEFINITIONS.....	12
7	RELATED LEGISLATION AND DOCUMENTS.....	12
8	FEEDBACK.....	12
9	APPROVAL AND REVIEW DETAILS.....	13
10	APPENDICES.....	14
	Appendix A: Examples of types of behaviours or actions and an indication of their possible classification.....	14
	Appendix B: Outcomes and/or penalties that may be applied in response to inappropriate behaviour and/or research integrity breaches.....	17

## 1 PURPOSE

- 1.1 This policy and procedure defines integrity as it applies to research higher degrees (RHDs). It sets out CQUniversity's expectations of research candidates to act in a manner that upholds the highest standards of integrity. It also sets out CQUniversity's responses to and processes for addressing alleged breaches of research integrity by RHD candidates, including those of research misconduct.

## 2 SCOPE

2.1 This policy and procedure applies to:

- academic research integrity and misconduct relating to RHD candidates undertaking the research and thesis component of a RHD course at CQUniversity
- CQUniversity and PT CQU Executive Business Training Centre employees with responsibility for any aspect of RHD candidate research misconduct prevention, identification, investigation, management, decision-making and/or administration, and
- adjunct academic appointments and other individuals registered with the University as external RHD supervisors.

2.2 This policy and procedure does not apply to:

- academic misconduct by RHD candidates completing higher education coursework units or research coursework units, or by students in research preparatory courses, such as the Graduate Certificate in Research. These are managed under the [Student Academic Integrity Policy and Procedure](#).
- Inappropriate behaviour and/or non-academic misconduct, including fraudulent claims, misinformation or breaches of other University policy documents. This is managed under the [Student Behavioural Misconduct Procedure](#).
- Breaches of academic and non-academic misconduct by employees acting in their capacity as an employee. This is managed under the employee [Code of Conduct](#), [Code of Conduct for Research](#) and the [CQUniversity Enterprise Agreement](#). Where actions are behaviours are related to an employee's research candidature, they will be dealt under this policy and procedure in the first instance.

2.3 The table below should be consulted when determining which University policy document should be applied.

Categories	Research Higher Degree Integrity Policy and Procedure	Student Academic Integrity Policy and Procedure
Students undertaking research modules in the Graduate Certificate in Research		✓
RHD candidates undertaking research and thesis component (including the Confirmation of Candidature milestone) in a RHD	✓	
RHD candidates submitting assessment in research coursework units <sup>^</sup> (e.g. RSCH20001 Prepare for Confirmation)		✓
RHD candidates undertaking higher education coursework units as prescribed or elective curriculum in a RHD		✓
Students undertaking research activities in undergraduate or postgraduate coursework degrees (including Honours, minor thesis, dissertation or capstone projects)		✓

<sup>^</sup> Research coursework units are defined as those delivered by the School of Graduate Research and/or are delivered explicitly for research higher degree candidates.

2.4 Where a RHD candidate or student in the Graduate Certificate of Research is found to have undertaken any form of academic misconduct under the Student Academic Integrity Policy and Procedure, a notification will be provided to the Dean School of Graduate Research, via the Academic Integrity Officer from the Academic Integrity Unit. The Academic Integrity Unit must be kept updated with research-relevant degrees and qualifications being offered from the School of Graduate Research to enable accurate reporting. The Dean may in turn notify the supervision team, so that a focus can be placed on supporting positive behaviours during their candidate's remaining studies.

2.5 References to 'candidate' in this document includes 'former CQUniversity candidate', unless otherwise stated. This includes candidates undertaking study on or offshore, at an approved third-party facility or where delivered in partnership with other providers (including co-tutelle arrangements).

## 3 POLICY

### Governing principles

- 3.1 Research integrity is fundamental to protecting the quality, credibility and trustworthiness of RHDs. It is also fundamental to protecting the University's culture and values and the reputation of the University, its courses and qualifications, its research candidates and its graduates.
- 3.2 The University promotes a positive learning and research culture in which all individuals understand and uphold the values of research integrity in every aspect of their studies and/or work.
- 3.3 The University will investigate and deal with allegations of research integrity and/or misconduct by RHD candidates in a confidential and consistent manner, affording natural justice and applying penalties which are appropriate, fair and just. Natural justice is also referred to as procedural fairness. It describes a situation where a person receives appropriate notification about the matter being considered; and where the decision-making is undertaken based on evidence and in an unbiased manner.
- 3.4 At the time of their enrolment, RHD candidates will be directed to relevant policy documents to ensure they are informed about research integrity, how to avoid misconduct and applicable penalties. University policy documents are accessible via the [CQUniversity policy website](#).
- 3.5 Where alleged or actual integrity breaches also involve the behaviours or actions of the RHD supervisory team, investigation and/or decision-making will be informed by this policy and procedure (for any matters involving candidate/s) as well as the Code of Conduct for Research (for any matters involving supervisor/s).

### Integrity in research higher degrees

#### Commitment

- 3.6 The University will uphold research integrity through measures that promote and maintain good practices, and prevent, identify and respond appropriately to behaviours or actions of RHD candidates that breach research integrity.
- 3.7 The University considers that research integrity is a shared responsibility. The University and its employees commit to supporting RHD candidates to understand research integrity and how to meet expected standards.
- 3.8 As postgraduates, RHD candidates will commence a research degree with an existing awareness of basic academic integrity requirements. However, the University acknowledges that requirements can vary between institutions and countries, resulting in a variation of knowledge and skills. As such, the University commits to provide RHD candidates and their supervisors with regular training opportunities, information resources and communication that supports individuals to understand research-specific integrity matters and the standards expected of them.
- 3.9 It is mandatory that all RHD candidates complete the Foundations of Academic Integrity module on commencement of study.

#### Responsibilities

- 3.10 RHD candidates are responsible for their own learning and for accessing the services, resources, information and other support available to them to learn about the expected standards of behaviour at the University and as practising researchers in Australia and globally. This includes a responsibility to be familiar with this policy and procedure and to regularly access the document for updates as well as comply with all requirements of this policy and procedure.
- 3.11 RHD candidates must uphold research integrity when undertaking their project work and thesis activities. Examples of positive behaviours that can ensure high standards of research integrity include:
  - creating and expressing their own ideas in their work
  - acknowledging all ideas, words or work of others of any kind using an appropriate referencing system, including work of their own that has been previously submitted for assessment;

- accurately reporting research data and results
  - declaring real or perceived conflicts of interest
  - complying with this policy and procedure as well as other relevant University policies and requirements for research (e.g. human and animal ethics clearances)
  - participating in regular research integrity training and/or information programs
  - promoting research integrity in the University community through exemplary behaviour
  - taking reasonable steps to prevent work from being copied or used dishonestly (such as encouraging or allowing another candidate to present the work as their own), and
  - avoiding behaviour that breaches research integrity or is inconsistent with the values and principles of research integrity as described in section 3.15.
- 3.12 RHD candidates must report activities observed in other candidates and/or University researchers, in cases where they genuinely and reasonably believe that these actions may be in breach of research integrity expectations. The definition of what constitutes a breach is provided in more detail in sections 3.14-3.25 below.
- 3.13 The University and its employees will promote research integrity through creating a positive research culture as well as encouraging, supporting and modelling practice that is consistent with the principles of research integrity.
- 3.14 RHD supervisors have particular responsibility for assisting their candidates to be familiar with the information, resources and support available to them. The “Supervision of Research Trainees (Employees and Students)” section of the Code of Conduct for Research details the specific responsibility of supervisors towards candidates, consistent with the requirement to promote awareness or appropriate behaviour as described in the [Australian Code for Responsible Conduct of Research](#).

## Key definitions

- 3.15 **Research integrity** is defined as behaviour and actions that uphold the principles of responsible research conduct, including honesty, rigour, transparency, fairness, respect, recognition, accountability and promotion of responsible practice. Research integrity also means acting honestly and responsibly when undertaking and presenting work and research for review and/or assessment, including in matters of research authorship, peer review, managing conflict of interest, management of research data, research ethics, and the publication and dissemination of research findings.
- 3.16 A continuum exists with regards to appropriate conduct, inappropriate conduct, a research integrity breach and research misconduct, as illustrated in Figure 1 below. The applicable penalty or action associated with a particular behaviour will be determined based on where the activity sits along that continuum.

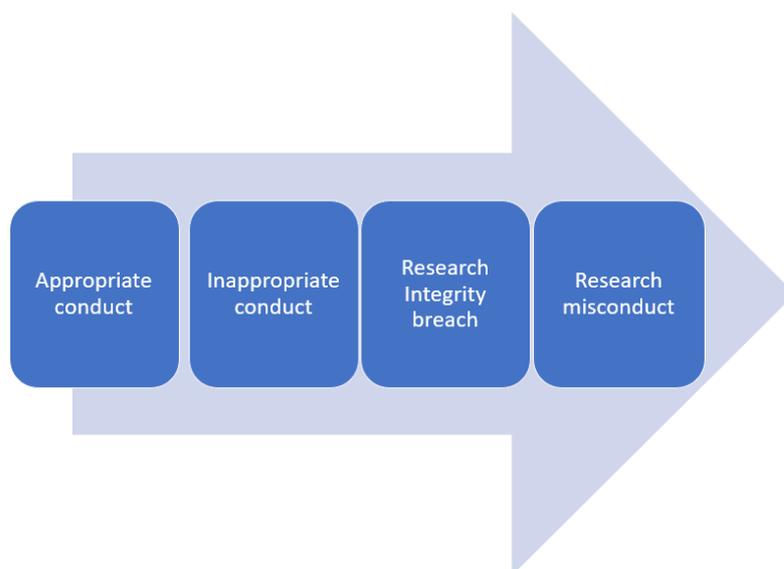


Figure 1: Continuum of behaviour in research practice.

- 3.17 **Inappropriate conduct** occurs where a candidate's research work or conduct falls short of breaching research integrity standards, but requires improvement in order to meet expected standards. Conduct which features carelessness, dishonesty or an intention to deceive is outside of the definition of inappropriate conduct, and may instead be regarded as an integrity breach or misconduct.
- 3.18 A **research integrity breach** is an action inconsistent with the values of research integrity and/or a failure to meet the responsibilities and principles of responsible research conduct. A breach often involves dishonesty, an intention to deceive or gain unfair advantage, or a careless disregard for expected standards and/or conduct of research work. A research integrity breach may refer to a single breach or multiple breaches.
- 3.19 **Research misconduct** occurs where there is a serious breach of research integrity which is also intentional, reckless or negligent, and which may impact on the reputation, viability and integrity of the University's research and academic standards. All cases of research misconduct are considered as breaches of research integrity.
- 3.20 Research misconduct does not include honest errors or honest differences in interpretation of data.
- 3.21 Any breach of the Australian Code for the Responsible Conduct of Research is a serious offence and may result in penalties imposed by the University and/or cancellation of Commonwealth support for a RHD candidate, and/or notification to external funding bodies (possibly resulting in withdrawal of research funding).
- 3.22 Examples of types of behaviours and their identification as inappropriate research conduct, research integrity breach or research misconduct are given in [Appendix A](#). This list is intended to be indicative only and is not exhaustive. A determination of how a particular behaviour or action will be identified is made on a case-by-case basis according to the procedure outlined in this document.
- 3.23 Inappropriate conduct and/or a breach may include attempts to do an act or make an omission which would, if completed, amount to a breach; and/or colluding with or aiding another person with an activity that is a breach.
- 3.24 Failing to comply with any direction, order or penalty made or imposed pursuant to this policy and procedure may also constitute a research integrity breach, including misconduct.

### **Additional behavioural standards**

- 3.25 RHD candidates are expected to be familiar with and comply with University policy documents that relate to their studies. This includes policy documents about assessment as well as policy documents aimed at protecting copyright, intellectual property, and information system and password security.
- 3.26 Behavioural breaches by a RHD candidate involving fraudulent claims or misinformation, or breaches of other University policy documents in relation to academic work or achievement may be managed in line with this policy and procedure and/or the Student Behavioural Misconduct Procedure.
- 3.27 Unlawful conduct will be referred to the Police or other relevant authority/ies.

### **Timing of potential research integrity breaches**

- 3.28 The stages of a RHD candidature where research integrity issues may arise includes but is not limited to:
- during literature reviewing, project planning, data collection, data analysis or thesis preparation
  - draft submission of a thesis or chapters where submission is defined as lodgement of materials with a supervisor, members of a supervisory panel, and/or other employees
  - oral presentations, whether they are to be delivered within the University or in an external academic or public forum
  - submission of confirmation of candidature documentation
  - submission of publications and co-authored articles, where these relate to thesis work, and
  - submission of a thesis for examination, including re-submission of the revised thesis and submission of documents for a practice examination.

- 3.29 Issues concerning research integrity may also occur in a research proposal submitted during the application for admission process. As applicants are not students at the University, this policy and procedure cannot be applied. However, an offer of admission may be reasonably refused on the basis of dishonest and/or deceitful manner under the relevant Course Rules.
- 3.30 The approach to research integrity issues that are raised after a candidate has been conferred (graduated) is described in section 4.48-4.49 on retrospectivity.

### **Identifying and responding to research integrity breaches**

- 3.31 The University will implement appropriate measures, including this policy and procedure, to identify, report and respond appropriately to research integrity breaches by RHD candidates. Such measures will endeavour to ensure that:
- research integrity breaches are dealt with in a confidential, procedurally fair, proportional, impartial, timely and transparent manner, and
  - decision-making and outcomes (including one or more penalties) take into account the available facts and circumstances relevant to the RHD candidate and other involved parties.

## **4 PROCEDURE**

### **Reporting of allegations and investigating research integrity breaches**

- 4.1 Individuals (either candidates, employees or others) with a genuine, reasonable suspicion that any RHD candidate is or was involved in breaching research integrity at the University must report the matter confidentially, and as soon as possible, to
- a) the Dean, School of Graduate Research
  - b) the Academic Integrity Team (via [aiu-admin@cqu.edu.au](mailto:aiu-admin@cqu.edu.au)), or
  - c) a Research Integrity Advisor, as set out in the Code of Conduct for Research.
- 4.2 RHD candidates, former candidates and community members can also report the matter in line with the [Complaints Policy and Procedure](#) and/or the Code of Conduct for Research. Complaints can be made confidentially and anonymously. Such matters will typically be referred to the Dean School of Graduate Research for a response.
- 4.3 The University will consider all reports and complaints based on the information provided, confirm the substance of the information, and decide its response.
- 4.4 A case decision-maker is someone responsible for investigating and determining cases of potential integrity breaches. For RHD candidates, the decision-maker is the Dean School of Graduate Research. Where a perceived or actual conflict of interest exists between the parties and the Dean School of Graduate Research, the matter shall be referred to the Vice-President (Research) who will appoint an alternative case decision-maker.
- 4.5 In cases where the behaviour or action may constitute a breach of the Australian Code for the Responsible Conduct of Research, the case decision-maker will take the role of Designated Officer and/or Assessment Officer. The Designated Officer is someone appointed to receive complaints and oversee their management and investigation. The Assessment Officer is appointed to conduct preliminary assessment of a complaint relating to a RHD candidate or candidature. Such investigations may be integrated or separate to other activities undertaken under this policy and procedure and will be undertaken in accordance with the [Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#).
- 4.6 After receiving notification that potentially inappropriate conduct or a research integrity breach has occurred, the case decision-maker will investigate the allegation/s, taking into account previous instances recorded in the candidate's file and progress reports, and as noted in the Academic and Research Integrity (ARI) Database. An investigation will include consultation with relevant parties as necessary (for example, the supervisory panel, relevant school-based research leadership positions, or other individuals) before making a determination.

- 4.7 Should the case decision-maker consider that allegations have substance, the candidate will be formally advised, in writing, of the allegations and provided with an opportunity to respond. The written advice will include:
- a) sufficient detail of the allegation/s to allow the candidate to understand the nature of the alleged breach
  - b) an invitation to respond to the claim of an alleged breach
  - c) a list of the range of possible outcomes and/or penalties that may be applied if the potential breach is proven, and
  - d) a recommendation that the candidate obtain independent advice and support, such as that offered by the University's Student Advocacy Officers.
- 4.8 The case decision-maker will coordinate with Academic Integrity to arrange for written advice about the allegation of a research integrity breach to be properly served on the candidate, and to initiate the invitation to respond.
- 4.9 Candidates will be provided with at least 14 calendar days in which to respond to an allegation of research integrity breach. A response shall only be accepted in writing to the case decision-maker. Candidates are encouraged to seek advice from the Student Advocacy Officer on how to present their case. If the candidate requires more than 14 calendar days to prepare their case, they may apply in writing to the case decision-maker for an extension, which may be granted on a case-by-case basis.
- 4.10 If a candidate does not respond to a written advice of an allegation of a research integrity breach within the time allowed, the case decision maker will proceed with an investigation and make a determination based all relevant information available.
- 4.11 Investigations shall be scheduled as soon as possible after the alleged research integrity breach is identified, but not earlier than 14 calendar days (or as soon as a response is received), and not later than 60 calendar days from the date of the letter of notification to the candidate.
- 4.12 A research integrity breach involving alleged corrupt or criminal behaviour may be referred to appropriate external agencies, such as the [Crime and Corruption Commission](#) or the relevant police jurisdiction. The case decision-maker will seek advice on whether internal investigations and determinations may be continued during an external investigation, and if so with what authority and limitations. After completing the external investigation the case decision-maker will consider whether any further outstanding matters relevant to this policy and procedure require a determination.

### **Deciding if a research integrity breach has occurred**

- 4.13 In considering matters of research integrity breaches, the case decision-maker may consult with one or more individuals with relevant discipline expertise to examine the nature and severity of the alleged research integrity breach.
- 4.14 Before making their decision, the case decision-maker may offer the candidate an opportunity to attend an interview. Candidates who are invited to an interview will be given reasonable notice of at least five working days to prepare and, if desired, to arrange for another person to attend with them to provide support (e.g. a friend, relative, student advocacy officer).
- 4.15 The support person may not speak on the candidate's behalf, unless the decision-maker allows it.
- 4.16 As the interview is an administrative proceeding, legal representatives are not permitted to attend to support the candidate.
- 4.17 Following the interview, a summary of the key discussion points covered during the interview will be provided to the candidate, who may flag edits, errors or omissions for actioning.
- 4.18 The case decision-maker will consider available information relevant to the case, including any response the candidate may have provided in writing or at interview, and decide if the potential breach of research integrity occurred.

- 4.19 The decision will be based on the balance of probabilities and will result a finding of one of the following:
- a) the behaviour or action should be referred to another institutional process
  - b) the breach of research integrity is not substantiated and is dismissed
  - c) the breach of research integrity is not substantiated, but the behaviour or action represents inappropriate conduct that requires corrective action/s
  - d) the research integrity breach has occurred involving a minor incident, with penalties and support to be applied as per this policy and procedure, or
  - e) a complex and/or serious breach of research integrity may have occurred, representing the potential for research misconduct which must be referred for investigation.
- 4.20 Where the case decision-maker determines that a breach has occurred under section 4.19(e), a Panel will be convened to conduct a formal investigation into the matter of potential research misconduct. Panel membership will be guided by the Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research.

### **Dealing with plagiarism**

- 4.21 Where a RHD supervisor identifies lapses in referencing and/or inappropriate use of sources, the principal supervisor must counsel the candidate concerned, directing them to the relevant policy documents, and reminding them of the potential consequences for inappropriate behaviour. Such advice will be recorded in writing and a copy of the correspondence retained by the supervisor. This will be regarded as an informal warning.
- 4.22 In the event of repeat instances of concerning behaviours, the supervisor will formally notify the School of Graduate Research in writing, either directly or through the candidate's six-monthly progress report. This may lead to a case being raised in the ARI Database as 'inappropriate conduct' and the candidate will receive a formal warning letter.
- 4.23 Where a supervisor, peer reviewer or other employee suspects any behaviour or incident that is of a serious or intentional nature, regardless of first or subsequent presentation, they will document the reasons and evidence for this and refer the matter directly to the Dean School of Graduate Research.
- 4.24 The Dean School of Graduate Research may consult with Academic Integrity with regards to the severity of the occurrence and the corrective actions that may have been applied. For example, this might entail repeated instances of plagiarism in a publication, confirmation of candidature portfolio, thesis submitted for examination, or other research outputs.
- 4.25 On receiving advice of potential plagiarism, the Dean School of Graduate Research will review the candidate's record for an indication of previous issues, and may request an interview with the candidate, supervisory panel, and other relevant employees or authors. In the case of authors who are external to the University, the Dean School of Graduate Research may obtain input by interview or written request.
- 4.26 Research outputs generated by RHD candidates may be co-authored with RHD supervisors and others. To claim authorship, authors are expected to have contributed to and are responsible for, the contents of the research output. Accordingly, any plagiarism by a RHD candidate in a co-authored paper extends to all other authors.
- 4.27 Candidates will submit a report from Turnitin, or other similar detection software, when lodging their thesis for examination and when lodging a confirmation of candidature document for assessment purposes. Supervisors must consult the Turnitin report to decide if the work is ready for submission, noting that work containing any form of plagiarised material should not be deemed fit for assessment.
- 4.28 If plagiarism is detected by the Chair of the Examination Panel or Confirmation of Candidature Panel, the issue will be referred to the Dean School of Graduate Research.
- 4.29 If examiners or peer-reviewers detect plagiarism, they will be requested, through the School of Graduate Research, to provide formal advice of any suspected wrong-doing, including providing evidence for this suspicion.

## Outcomes and/or penalties for research integrity breaches

- 4.30 After it has been decided if a research integrity breach has occurred, the case decision-maker will decide any outcomes and/or penalties to be applied.
- 4.31 The University and its employees will apply a corrective educational approach to conduct that requires improvement, but falls short of a breach of academic integrity (i.e. inappropriate research conduct). RHD candidates will receive a warning and advice on ways to improve their research integrity knowledge and skills.
- 4.32 Breaches of research integrity deemed a minor incident may result in one or more outcomes and/or penalties depending on the candidate's conduct and seriousness of the breach.
- 4.33 Serious breaches of research integrity are deemed research misconduct. This will result in one or more outcomes and penalties that may seriously impact a candidate's academic progress, enrolment, admission status, academic credit, qualification, and/or certification even if the candidate is no longer enrolled or has graduated, including the possibility of revocation of an award.
- 4.34 If the research integrity breach has affected the accuracy or trustworthiness of research findings and their dissemination, all efforts should be taken to correct the public record of the research including publications.
- 4.35 When determining a penalty in response to proven misconduct, the governing principles shall be followed:
- to penalise the behaviour in a manner that is fair and just in all of the circumstances
  - to allow the candidate an opportunity to correct the offending behaviour, including, as necessary, to rewrite research outputs or repeat experimental work, and
  - to protect and maintain standards of conduct and behaviour in the workplace and the learning environment, which allow the University to perform its roles and functions under the [Central Queensland University Act 1998](#) (Qld).
- 4.36 When deciding outcomes and/or penalties, the case decision-maker will also consider relevant factors, including but not limited to the:
- candidate's experience/skills; such as whether the candidate has been provided with or given access to information about expected standards of research integrity and should reasonably be expected to have the relevant level of knowledge and skills to understand and adhere to these standards
  - candidate's history: such as the prior history of breaching academic integrity (e.g. one or repeated breaches, similar breaches, recency and/or seriousness of previous breaches), including during previous qualifications studied at the University
  - type of breach: for example, minor incident, misconduct involving plagiarism, collusion, cheating, contract cheating or other serious misconduct
  - candidate's intent: for example, where evidence suggests the conduct is unintentional or accidental, intentional and planned, dishonest or deceitful; evidence of a 'ring-leader' role, payment, use of threats, pressure, bribery, or favours to gain advantage
  - extent of breach: for example, the amount or proportion of the completed assessment task that is not the candidate's work, or the extent the completed assessment task is compromised
  - impact or risk of impact of breach: for example, impacts or risks to the candidate's, achievement of others, or the reputation of the course/qualification, the University or others, and
  - other relevant factors listed in the Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research, such as the level of experience of the researcher, and the extent to which research participants, community members, animals and/or the environment is, or may have been, affected by the breach.
- 4.37 Examples of outcomes and/or penalties that may be applied in response to inappropriate conduct or research integrity breaches are listed in [Appendix B](#).

## Provisions relating to international candidates studying in Australia on a student visa

- 4.38 Any decision to initiate suspension or cancellation (exclusion) of an international student's enrolment must be implemented in accordance with standards 9 and 10 of the [National Code of Practice for Providers of Education and Training to Overseas Students 2018](#) (Cwlth) (National Code).
- 4.39 Any such decision must not be implemented until after the candidate is informed of their right to request an internal appeal and the internal appeal process is completed (see the [Appeals](#) section).
- 4.40 The University's International Office will be informed of any decisions to suspend or cancel (exclude) a candidate's enrolment.
- 4.41 If the internal appeal process upholds the decision to suspend or cancel (exclude) enrolment, the candidate will be advised of the need to seek advice from the [Department of Home Affairs](#) regarding the impact on their visa.
- 4.42 The University's International Office will report any changes to the candidate's enrolment to the Department of Home Affairs in line with the National Code.

## Retrospectivity

- 4.43 Where an alleged misconduct matter is raised after a candidate's results have been finalised, or the degree conferred, the Dean School of Graduate Research (or other appropriate case decision maker) may open an investigation. An investigation would ordinarily include audit of the candidate's files and, where possible, participation by the candidate(graduate), supervisory panel, and relevant school management personnel.
- 4.44 In cases of serious misconduct and where the candidate's degree has been conferred, the University may choose to revoke the degree, irrespective of the number of years passed since conferral. A graduate whose degree is revoked will not be eligible for reimbursement of any tuition fees paid for the course. The process for considering and implementing a revocation of award will follow the steps outlined in the [Awards Policy and Procedure](#).

## Role of research higher degree supervisors

- 4.45 RHD supervisors must, as a routine part of supervision activities, make clear the need for their candidate to uphold research integrity and provide guidance to the candidate around these matters.
- 4.46 Supervisors should be aware of, and accountable for, their candidate's actions, and be active in seeking information from their candidates about their activities. In cases of a candidate being found to be in breach of research integrity, the supervisory panel members are as responsible as the candidate, unless it can be shown that the supervisor/s had taken reasonable steps to identify and/or deal with the inappropriate behaviour. Where supervisors are found to have failed to provide adequate guidance, this may constitute a breach of a different part of the Australian Code for the Responsible Conduct of Research and will be dealt with by the University under the relevant employee policy document (e.g., the Code of Conduct for Research). This does not apply in situations where a candidate has acted covertly or failed to disclose information to the supervision panel.

## Recording research integrity breaches

- 4.47 Whenever allegations of misconduct are made and investigated, the details of the incident, whether or not the candidate admitted or was found to have committed a research integrity breach, must be entered in the ARI Database.
- 4.48 The ARI Database shall contain sufficient detail of the alleged or proven research integrity breach that would allow review if required, including but not limited to the candidate's name, the supervisor's name, a brief outline of the facts, any mitigating factors, the decision, any penalty imposed, and reasons for the decision and penalty.

- 4.49 For any outcome other than cancellation of candidature/enrolment, the ARI Database will not form part of the candidate's permanent academic record nor shall it be referred to on the candidate's academic transcript. Where the offence results in cancellation of candidature/enrolment, a notation will form part of the candidate's permanent academic record, including the academic transcript.
- 4.50 Access to the ARI Database will be restricted to the key University personnel including the Dean School of Graduate Research (or relevant case decision-maker), the Director Governance and relevant members of the Educational Quality and Integrity Directorate.
- 4.51 Where it is required by appropriate external authorities, allegations and/or instances of misconduct relating to RHD candidature may be reported to national research bodies, including but not limited to the [Australian Research Council](#) and/or the [National Health and Medical Research Council](#). A finding of serious research misconduct will result in automatic advice to any funding body providing funding for the candidature, including the scholarship provider.

## Appeals

### Internal appeals

- 4.52 The University will ensure that candidates are advised of their options for internal appeal at the time they are notified in writing of the decision regarding a breach of research integrity.
- 4.53 Current candidates can lodge an appeal in line with the [Academic Appeals Policy and Procedure](#). Candidates are encouraged to seek assistance from Student Advocacy Officers in preparing their appeal.
- 4.54 Former candidates and graduates may lodge an internal appeal in line with the Academic Appeals Policy and Procedure, however they will not be entitled to University support services such as Student Advocacy.

### External appeals

- 4.55 Candidates (former and current) and graduates who are dissatisfied with a University decision can request an external appeal by making a complaint to an external complaints body. External complaints bodies include but are not limited to the [Queensland State Ombudsman](#) or to a court or tribunal with an appropriate jurisdiction.
- 4.56 The University shall ensure that all candidates are advised of their options for external appeal at the time they are notified in writing of the decision and reasons for the decision.
- 4.57 External complaints bodies include but are not limited to the Queensland State Ombudsman or to a court or tribunal with an appropriate jurisdiction.

## 5 RESPONSIBILITIES

### Compliance, monitoring and review

- 5.1 The Dean School of Graduate Research is responsible for implanting, monitoring, reviewing and ensuring compliance with this policy and procedure.
- 5.2 All employees with responsibility for any aspect of promoting research integrity, and identifying and responding to potential academic integrity breaches, have a responsibility to comply and promote compliance with this policy and procedure.

### Reporting

- 5.3 Incidence of and trends in relation to research integrity breaches will be monitored and reported to Academic Board through the Research Committee at the end of each term, and/or as required. The Research Committee will receive advice about cases of research integrity by RHD candidates, twice yearly via the Dean School of Graduate Research.

## Records management

- 5.4 Academic Integrity the ARI Database as a secure, central recordkeeping repository for details of academic and research integrity breaches and related responses, decisions, outcomes and penalties.
- 5.5 The Dean School of Graduate Research is responsible for ensuring records of alleged or proven research misconduct by a RHD candidate are recorded in the ARI Database.
- 5.6 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.
- 5.7 University records must be retained for the minimum periods specified in the University Sector Retention and Disposal Schedule on the [Queensland State Archives website](#). Before disposing of any records, approval must be sought through the Records Management Office (email [records@cqu.edu.au](mailto:records@cqu.edu.au)).

## 6 DEFINITIONS

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

## 7 RELATED LEGISLATION AND DOCUMENTS

[Academic Appeals Policy and Procedure](#)

[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](#)

[Code of Conduct for Research](#)

[Complaints Policy and Procedure](#)

[Conflict of Interest Policy and Procedure](#)

[Intellectual Property and Moral Rights Policy](#)

[Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research Guideline](#)

[National Code of Practice for Providers of Education and Training to Overseas Students 2018](#) (Cwlth)

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

[Open Access for Research Outputs Policy](#)

[Research Data Management Policy and Procedure](#)

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

[Tertiary Education Quality and Standards Agency Amendment \(Prohibiting Academic Cheating Services\) Act 2020](#) (Cwlth)

## 8 FEEDBACK

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

## 9 APPROVAL AND REVIEW DETAILS

Approval and Review	Details
Approval Authority	Academic Board
Delegated Approval Authority	Research Committee
Advisory Committee	N/A
Administrator	Dean School of Graduate Research
Next Review Date	29/04/2024

Approval and Amendment History	Details
Original Approval Authority and Date	Academic Board 26/03/2014
Amendment Authority and Date	Executive Committee of Academic Board 26/06/2017; Dean, School of Graduate Research 5/10/2018; Research Committee 29/04/2021.
Notes	This document consolidated and replaced the Student Research Misconduct Procedure and Research Plagiarism Procedure (approved 26/03/2014). This document was formerly known as the Student Research Misconduct Policy and Procedure (last approved 08/10/2018).

## 10 APPENDICES

### Appendix A: Examples of types of behaviours or actions and an indication of their possible classification

- 10.1 This table is indicative only. A particular behaviour or action may be treated as a less serious breach (minor incident – inappropriate conduct) or serious breach (research misconduct) depending on its nature and context. The latter would typically involve evidence of repeated, careless or intended dishonest conduct; and evidence of planning and/or an intention to act dishonestly.
- 10.2 Further definitions of breaches of the Australian Code for the Responsible Conduct of Research are also available in the Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research.

Type of Conduct	Inappropriate Research conduct	Research integrity breach	Research Misconduct (depending on severity)
Plagiarism	<p>Inadequate referencing</p> <p>Poor attention to detail in complying with a standardised method of referencing</p> <p>Unintended plagiarism where the evidence shows the candidate has not yet had a reasonable opportunity to learn expected standards.</p>	<p>Plagiarism or Self-plagiarism (including repeat publication of the same work), after educational supports have been delivered</p> <p>'Washing' (see below)</p> <p>Use of paraphrasing tools to disguise work from another person, as your own</p> <p>Improper or inaccurate use of referencing with the intention to deceive, including after educational supports have been delivered.</p>	<p>Serious instances of plagiarism (in any form), where there is evidence of repeated, careless or intended dishonest conduct, even after educative support has been provided.</p>
Collusion	<p>A form of academic dishonesty and cheating, collusion involves a candidate working with one or more people to produce assessable work and who claims the work as their own where the collaboration is not acknowledged or approved.</p> <p>Collusion may be treated as a minor incident or a serious case (breach and/or misconduct). For example, collusion involving evidence of repeated, planned, careless, or intended dishonest conduct should be differentiated from unintended collusion.</p>		
Cheating, including contract cheating	<p>When a candidate uses or attempts to use dishonesty or any means to gain or attempt to gain an unfair advantage in an assessment task.</p>		
Authorship and Ownership of Intellectual Property	<p>Denying authorship to an individual who has made a significant contribution to the research output.</p> <p>Adding an author who has not contributed to the research output</p> <p>Using another's intellectual property without due acknowledgement in research-related matters.</p> <p>Misleading attribution of authorship and/or failing to acknowledge co-authors/contributors appropriately.</p>		

Errors in the collection and reporting of research data or findings	Poor attention to detail leading to errors in data reporting.	<p>Purposely not reporting data outliers.</p> <p>Unauthorised use of data for which appropriate permissions have not been sought.</p> <p>Failure to appropriately maintain research records.</p> <p>Fabrication or falsification of datasets or source material.</p> <p>Serious misrepresentation of data or research outcomes.</p> <p>Knowingly conducting research without appropriate human or animal ethical clearance or which deviates from the conditions attached to ethical clearance.</p>	
Research ethics	Failure to maintain appropriate records in relation to participant consent.	<p>Knowingly conducting activities without ethical clearance, or contrary to the conditions outlined in the relevant ethical clearance.</p> <p>Failure to advise the ethics committee about changes to, or adverse events during, the planned research activities.</p>	Serious breaches of human and/or animal ethics requirements, including the potential to harm human participants, the welfare of animals or harm to the environment.
Research Risk	Failure to maintain appropriate documentation relating to chemical/laboratory safety	Knowingly conducting activities without clearance, or contrary to the conditions applicable under the <a href="#">Occupational Health and Safety Policy</a> .	Serious breaches of occupational health and safety requirements relating to the conduct of research activities.
Funding	Failure to keep receipts from University-related travel.	Misuse of research funding.	Serious misuse of University resources or funding in research.
Research best practice		<p>Failure to declare and/or manage conflicts of interest.</p> <p>Failure to conduct peer review responsibly.</p> <p>Failure to report breaches of research integrity by others.</p> <p>Concealment of facilitation of breaches or potential breaches by others.</p>	
Other research integrity breaches		Non-compliance, including late compliance, with any direction, penalty or outcome, without reasonable excuse, decided in relation to this policy and procedure.	

## Definitional notes:

- **Contract cheating:** where a candidate engages, attempts to engage, or allows a third party (whether paid or unpaid) to fully or partially complete academic work which the candidate presents or presented as their own. Third parties include but are not limited to:
  - a) essay-writing services
  - b) friends, family or other candidates
  - c) private tutors
  - d) copyediting services
  - e) agency websites
  - f) providers offering their services via 'reverse classifieds'.

It does not include thesis proofreading where undertaken by university-sanctioned providers and in accordance with the Institute of Professional Editors Limited [Guidelines for Editing Research Theses](#). These Guidelines outline the extent and nature of editorial services that professional editors can provide when editing research students' theses and dissertations.

**Note:** The provision and advertisement of academic 'contract cheating' services is an unlawful offence and will be reported to the Tertiary Education Quality and Standards Agency (TEQSA) for investigation under the [TEQSA Amendment \(Prohibiting Academic Cheating Services\) Act 2020](#) (CwIth).

- **Plagiarism:** using other people's ideas, designs, images, graphs, tables, data, computer programming or coding, words or work of any kind and presenting it as their own without appropriate referencing and/or acknowledgment. Plagiarism in research can take several forms: plagiarism of ideas, plagiarism of data or plagiarism of text. Plagiarism of an idea involves presenting a concept developed by another as your own. Plagiarism of data involves presenting data collected by another as your own. Plagiarism of text involves the use of others words as one's own (i.e., presented without quotation marks and/or without appropriate citation of the page number of the source).
- **Self-plagiarism:** an author recycling their own work without acknowledgement, including the use of published wording into another document by the same author, and the reproduction of tables or graphics from a published work, without proper attribution. Note: Approved re-use of previously submitted work may be accepted assessment design and practice in specific courses.
- **'Washing'** (back translation): where Google Translate or other similar services are used to translate another's work into a different language and back into the original language; and/or use of paraphrasing tools to disguise plagiarism.

## **Appendix B: Outcomes and/or penalties that may be applied in response to inappropriate behaviour and/or research integrity breaches**

- 10.3 One or more of the following penalties may be applied under this policy and procedure. Outcomes will be linked with the severity of the behaviour, which may range from minor (e.g. identification of self-plagiarism in small amounts of text) to severe (e.g. extensive evidence of serious plagiarism of data or ideas). Example outcomes are listed below in indicative order of severity:
- a) written warning with reprimand
  - b) the candidate making a written formal apology and/or entering into a written undertaking not to continue or repeat the behaviour or activity that has been found to be a breach
  - c) written advice to re-submit thesis, confirmation document, portfolio or other assessment item for further examination
  - d) failing grade, or such other penalty as may be authorised by the case decision maker
  - e) requirement to attend mandatory training (e.g. in the use of appropriate referencing styles) and/or counselling from a specific person or service
  - f) entering details on the candidate's permanent record
  - g) withdrawal of publications containing plagiarised material and/or publication of an appropriate correction or notice
  - h) a direction not to approach, contact or try to contact an employee or another candidate
  - i) restrictions or conditions on access to or use of any university facilities, equipment and/or resources
  - j) suspension or cancellation of funding and support linked with the RHD candidature, including scholarship stipends and/or tuition waivers
  - k) suspension of, cancellation of, or requirement to re-apply for, research ethics and/or health and safety clearances related to the RHD candidature
  - l) suspension or termination of candidature/enrolment at the University, and/or
  - m) exclusion from the University.
- 10.4 If plagiarism deemed to be research misconduct is evident in a public document (including published peer-reviewed manuscripts), the publication/s shall be revoked and the offenders must make a written apology to the journal or publisher, with a copy to University employees as directed.