

CODE OF CONDUCT FOR RESEARCH

PURPOSE

It is the responsibility of all University researchers to ensure that they are familiar with the Code and that they act according to it. Failure to observe the Code may result in disciplinary action. In addition, researchers must familiarise themselves with codes of conduct appropriate to their discipline area. Observance of such codes, and accepted norms of honesty and integrity must underline all decisions and actions regarding the conduct of research at CQUniversity.

Where there is any doubt about the Code or about actions that might arise from it, advice may be obtained in the first instance from the Office of Research. Confidential advice may be sought from the Pro Vice-Chancellor (Research) or from any other member of Research Committee of Academic Board.

SCOPE

The Code has application to all disciplines, embraces the principles as contained in the *Australian Code for the Responsible Conduct of Research* and should be interpreted in a manner consistent with the advice in the Australian Code.

A robust and responsible research culture will demonstrate:

- honesty and integrity;
- respect for human research participants, animals, the environment, colleagues and the University;
- good stewardship of the resources used to conduct the research;
- appropriate acknowledgement of the role of others, including organisations, in research;
- responsible communication of research results.

Failure to act in accordance with the principles and practices of the Code may constitute a breach, resulting in an allegation for deviation from the Code or misconduct in research.

PURPOSE

The Code of Conduct for Research (the Code) aims to maintain the highest standards of integrity and professionalism in all research conducted by University personnel and research degree candidates (all generically termed 'researchers').

The purpose of this document is to establish those minimum requirements for responsibilities, the proper conduct of research, management of research data and materials, publication and other matters pertaining to research in all its manifestations at CQUniversity. This document also describes the procedures for reporting allegations of breaches of the *Code of Conduct for Research* and for dealing with such allegations.

PRINCIPLES

1 Responsibilities and Due Care

1.1 The University provides:

- information on and opportunities to promote the responsible conduct of research;
- governance of research to assess quality, safety, financial management and ethical acceptability through the Research Committee of Academic Board;
- governance and management systems for compliance with legislation, laws, regulations, guidelines and codes of practice governing the conduct of research in Australia;
- procedures for collaborative research projects with other organisations that must be agreed to prior to the commencement of a project;
- processes for monitoring the University's performance with regards to its responsibilities;
- processes for receiving and managing allegations of breaches of the Code or research misconduct;
- training for staff and students that informs practice regarding responsible research conduct;
- that research is conducted within a safe work environment that includes compliance with the accepted ethical and practice standards for biosafety, radiation safety, environmental safety, waste management, human and animal subject involvement, and other relevant Occupational Health and Safety requirements and legislations (current and future).

1.2 Researchers will:

- maintain high standards of responsible research through intellectual honesty and integrity, and scholarly and scientific rigour;
- respect the truth and the rights of those affected by their research;
- manage conflicts of interest so that ethical and scholarly considerations are not compromised;
- adopt appropriate methods to achieve the research aims;
- accurately cite information such as awards, degrees conferred and research publication details;
- promote adoption of and avoid departures from the Code;
- conform to the policies of the University and requirements of the funding organization;
- ensure the accuracy of their results and the work of assistants;
- report and disseminate research findings responsibly;
- respect both human and animal research subjects and comply with both Human Research and Animal Ethics Committee requirements, respectively. Respect and follow additional considerations required for research that may involve Aboriginal or Torres Strait Islanders;
- report breaches of the Code or evidence of research misconduct in a timely manner.

2 Research Involving Human Participation and/or Animal Subjects and/or the Great Barrier Reef Marine Park

2.1 Human participation in research will be governed by the *National Statement on Ethical Conduct in Human Research* and the *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (current and future revised versions). 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.

- 2.2 Research workers 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 the 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.
- 2.3 Research involving animals will be conducted in accord with the *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes* (current and future editions). Such research will have been approved by the University's Animal Ethics Committee.
- 2.4 Research involving the Great Barrier Reef Marine Park will be conducted in accord with the [CQUniversity Code of Conduct for Research in the Great Barrier Reef Marine Park](#). Such research will have been approved by the Office of the Pro Vice-Chancellor (Research).

3 Supervision of Research Trainees (Staff and Students)

- 3.1 Each Institute or Centre will have a responsible officer or delegate that will ensure that there is an identified, responsible and appropriately qualified supervisor for each research trainee that includes early research career academic staff (an investigator new to research, that is a staff member with less than two years of research experience and/or training), post-doctoral fellows, research and technical assistants and other associates).
- 3.2 Academic/Research staff managers will ensure that a supervising staff member 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.
- 3.3 The Dean, School of Graduate Research or Research Supervisor must ensure that each trainee has been advised of government and University guidelines for the conduct of research, and where to access relevant documented information.
- 3.4 Supervisors are responsible for imparting to research trainees the principles embodied in this Code and the code for their profession.
- 3.5 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.
- 3.6 Supervisors must ensure that research trainees receive appropriate credit for their work.
- 3.7 Supervisors of research trainees and research staff must be members of the University's academic staff and must meet qualification standards as determined by the relevant academic management and governing bodies. In some cases, the appointment of co-supervisors who are not members of the University's academic staff may be approved in order to provide appropriate expertise.
- 3.8 As a matter of normal practice, staff members should not engage in a supervisory role with individuals with whom they have a close personal relationship. Refer to the CQUniversity [Code of Conduct](#).

4 Research Trainees

- 4.1 A research trainee is responsible for demonstrating a professional attitude towards research that includes being active in maintaining frequent meetings with the supervisor.

- 4.2 Ensure that they are familiar with all the requirements for the responsible conduct of their research and have completed all induction and training requirements.

5 Retention of Data

- 5.1 Data must be recorded in a durable and appropriately referenced form and retained intact for a period of at least five years from the date of any publication that is based upon them. In some cases, the period for which data should be retained may vary and data must be retained in accordance with these requirements. Examples include clinical trial data for 15 years or more; gene therapy data must be permanently retained; work that has community or heritage value may be required to be kept permanently, sometimes within a national collection; work from which a patent or other form of intellectual property assignment has been derived must be retained for at least the duration of the period of intellectual property protection.
- 5.2 Data management should comply with relevant privacy protocols such as the Australian Standard on personal privacy protection.
- 5.3 Data related to publications are to be made available for discussion with other researchers, except where confidentiality provisions prevail.
- 5.4 Researchers may enter into confidentiality agreements to protect intellectual property rights. Where such agreements limit free publication and discussion, limitations and restrictions must be explicitly agreed. Copies of all such agreements must be lodged with the Office of Research upon execution.
- 5.5 Researchers are responsible for ensuring appropriate security for any confidential material held on computing systems. Security and confidentiality must be assured in a way that copes with multiple researchers and the departure of individual researchers.
- 5.6 Each Institute or Division area should develop and promulgate procedures for the retention of data generated by staff and students. Specific reference should be made to Section 2 of the *Australian Statement for the Responsible Conduct of Research* for details regarding data management and retention.
- 5.7 Researchers are responsible for the retention of research data and relevant primary materials, including managing the storage and maintenance of confidentiality.

6 Publications and Dissemination of Research Findings

- 6.1 Researchers have a moral obligation as well as a legal obligation to the University to perform valued, proper research that is accurately communicated to their peers and, as appropriate, the wider community.
- 6.2 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.
- 6.3 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 Participation in Health and Medical Research*).
- 6.4 The Institution 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 University policies 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.
 - that contractual arrangements restricting, delaying or limiting publication are adhered to.
- 6.5 Researchers must disseminate a full account and complete copy of their research, and where possible, include negative findings or results contrary to their hypothesis.
- 6.6 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 correct the record as soon as possible.
- 6.7 The work of others must be cited accurately and appropriately.
- 6.8 Multiple submissions of the same research findings is not acceptable, except in particular and clearly explained circumstances (for example, reviews, anthologies, collections or language translations). The submission of similar or the same work that is already published must be disclosed at the time of submission. All reasonable steps must be made to obtain permission from the original publisher.
- 6.9 Researchers must register clinical trials with a recognised register to promote access to information about clinical trials.
- 6.10 Researchers have a responsibility to communicate research in the public arena. When doing so, researchers must consider the following:
- ensure that the findings have been peer reviewed and clearly communicate the status.
 - inform those impacted by the research prior to public communication.
 - commercially valuable research outcomes may have to be communicated to the stock exchange or financial body before public release.
 - restrictions on communications.

7 Authorship

- 7.1 To be named as an author, a researcher must have made a substantial scholarly contribution to the work and be able to take responsibility for at least part of the work they contributed. Authorship depends to some extent on discipline, but must be attributed to any participant who can be deemed to have made a substantial contribution to:
- the conception and design of the research;
 - analysis and interpretation of the research (or part thereof);
 - drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

It is not tied to position, profession and does not depend on whether the contribution was paid for or voluntary.

- 7.2 A person who qualifies as an author must not be included or excluded as an author without their permission. See also the [Assignment of Authorship Policy and Principles](#).

- 7.3 Collaborating researchers should agree on authorship of a publication at an early stage in the research project and should review their decisions periodically.
- 7.4 Provision of material, routine technical support, or made measurements of a routine nature is not sufficient to warrant authorship. Substantial intellectual input is required.
- 7.5 Researchers must acknowledge all those who contributed to the research, facilities or materials, including research assistants and technical writers. Where individuals are named, their consent must be obtained in writing.
- 7.6 Authors of web-based publications must be responsible for the publication's content and must be clearly identified in the publication.
- 7.7 The senior author (or corresponding author) must retain the written acknowledgement of authorship in the form of either original signature, faxed copy or emailed consent. This also applies to published conference abstracts or other similar publications. In the case of a deceased or uncontactable author, the publication can proceed provided there are no reasonable grounds for this person to object to being an author.
- 7.8 Unacceptable authorship inclusion are not permitted and should not be offered to persons who do not meet the requirements for authorship. For example, none of the following justifies inclusion:
- Holding positions of authority, such as head of department, or a personal friendship;
 - Providing a technical service with no intellectual input into the project;
 - Providing routine assistance in some aspects of the project, the acquisition of funding or general supervision of the research team;
 - Providing data that has already been published or material obtained from third parties, with no intellectual input.

8 Peer Review

- 8.1 The impartial and independent assessment of research by others in the same field constitutes peer review and is encouraged by the University.
- 8.2 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;
 - Do not agree to participate in peer review outside of their expertise;
 - Give proper consideration to research that challenges or changes accepted thinking.
- 8.3 Researchers whose work is undergoing peer review must not interfere with the process or outcomes.
- 8.4 Researchers in receipt of public funding have a responsibility to participate in peer review processes.

8.5 Supervising researchers have a responsibility to assist trainee researchers to develop review skills.

9 Disclosure of Actual or Potential Conflict of Interest

9.1 Research activities should be conducted in an objective manner, free from any potential for undue influence arising from the interests of those responsible for the conduct of the research.

9.2 Researchers have an obligation to disclose at the time of reporting or proposing research (for example, in a grant application), any conflict of interest which has the potential to influence research and investigations, publication and media reports, grant applications, applications for appointment and promotion.

9.3 Where there are circumstances which could lead to a conflict of interest, or be seen to do so, the researcher must advise "in confidence" sufficient information to the Pro Vice-Chancellor (Research), to allow a determination on the matter.

9.4 Where supervisors of students and/or research trainees recognise a potential or actual conflict of interest, either on personal or professional grounds, the supervisor must advise the Pro Vice-Chancellor (Research) in writing under confidential cover.

9.5 The researcher must comply with the direction made by the Pro Vice-Chancellor (Research) in relation to the conflict of interest. It must be stressed, however, that the existence of a conflict of interest does not automatically disqualify a researcher from participating in a research program.

PROCEDURES

10 Advisers on Integrity and Practice in Research

10.1 Each member of the Research Committee of the Academic Board is designated as a University adviser on integrity in research.

10.2 These advisers on integrity in research are required to be knowledgeable of the *Code of Conduct for Research*, the relevant University policies and procedures, and be able to provide accurate advice to direct members of the University community concerning proper research practices, legislative requirements and issues concerning research misconduct.

11 Advising of Suspected or Alleged Research Misconduct and Complaints/Concerns regarding Research

11.1 Any person who has reasonable grounds to suspect that a member of the University community is acting or has acted contrary to the University's *Code of Conduct for Research* or in any other way apparently has performed an act of research misconduct has a responsibility to advise either the head of the appropriate University organisational unit, the Pro Vice-Chancellor (Research), the Deputy Vice-Chancellor (Academic and Research) or the Vice-Chancellor.

11.2 Where the suspected or alleged research misconduct apparently is or has been performed by a head of an organisational unit the advice should be directed to the Pro Vice-Chancellor (Research), the Deputy Vice-Chancellor (Academic and Research), and the Vice-Chancellor.

11.3 Where a person has a complaint concerning a research project involving humans which has been approved by the Human Research Ethics Committee, the complaint should be forwarded in the first instance to the Chair of the Human Research Ethics Committee.

11.4 Where the Human Research Ethics Committee is unable to resolve any complaint concerning an ethically approved research project involving humans, the complaint will be forwarded to the Pro Vice-Chancellor (Research) and the Deputy Vice-Chancellor (Academic and Research) and the

complaint will be dealt with according to the procedures below.

- 11.5 Where a person has an inquiry or complaint concerning a research project involving the use of animals which has been approved by the Animal Ethics Committee, the complaint should be forwarded in the first instance to the Chair of the Animal Ethics Committee.
- 11.6 Where the Animal Ethics Committee is unable to resolve any complaint concerning an ethically approved research project involving the use of animals, the complaint will be forwarded to the Pro Vice-Chancellor (Research) and the Deputy Vice-Chancellor (Academic and Research) and the complaint will be dealt with according to the procedures below.

12 Research Misconduct Involving Research Higher Degree Candidates or Students

- 12.1 All instances of alleged or suspected research misconduct, including breaches to the *Code of Conduct for Research* or plagiarism, are to proceed in accordance with the [Student Misconduct and Plagiarism Policy](#).
- 12.2 Investigation and courses of action relating to allegations of research misconduct by research higher degree candidates or students involved in the conduct of research shall proceed in accordance with the [Student Misconduct Procedures](#).

13 Research Misconduct involving Staff

- 13.1 Misconduct in research is constituted by a failure to comply with the provisions of the Code and, without limiting the generality of the following, includes:
- the fabrication or falsification of data;
 - the use of another person's ideas, work or data without appropriate acknowledgement;
 - misleading ascription of authorship;
 - or any breaches to the Code of Conduct for Research policy and principles.

Misconduct does not include honest errors or honest differences in interpretation or judgements of data. Ignorance of the Code and its intent does not constitute sufficient defence for failure to comply with the Code. Incompetence in research or ignorance of requirements for the responsible conduct of research will not be regarded as grounds for a defence against misconduct.

- 13.2 A complaint of misconduct in research is to be made in the first instance as described in 11.1-11.6 above, but is generally directed to the Pro Vice Chancellor (Research) or Head of Division.
- 13.3 The recipient of the complaint must act on this information and determine if an investigation should proceed. They may refer the matter in confidence to a relevant authority to assist with their initial determination of the complaint. If they believe that an investigation is to proceed, the Vice-Chancellor must be informed of the complaint as soon as practicable and provided with all the information relevant to the complaint.
- 13.4 Upon receipt of a determination from the recipient of a complaint that an investigation is warranted for a breach of the Code or allegation of research misconduct, the Vice-Chancellor may seek further advice on the evidence. The Vice-Chancellor may refer the complaint to the Pro Vice-Chancellor (Research) and the Deputy Vice-Chancellor (Academic and Research) to proceed with dealing with the matter as their delegate and in accordance with the requirements of the University's Enterprise Agreement.
- 13.5 Once satisfied it meets the requirements for investigation, the person against whom the complaint is made must be informed in writing in accordance with the requirements of the University's

Enterprise Agreement.

- 13.6 Allegations of misconduct or serious misconduct must be made in writing to the employee and signed by the Deputy Vice-Chancellor or nominee. The allegations must be in sufficient detail to enable the employee to understand their precise nature and to properly consider and respond to them.
- 13.7 At the time of notifying of allegations of misconduct or serious misconduct, the Vice-Chancellor and President or nominee may suspend an employee on full pay or suspend without pay if the Vice-Chancellor and President or nominee is of the view that the alleged conduct amounts to conduct of a kind such that other than for this clause it would be unreasonable to require the University to continue employment during a period of notice. Conditions of suspension will be in accordance with the University's Enterprise Agreement.
- 13.8 The employee will be required to submit a written response to the allegations of misconduct or serious misconduct within ten working days and can either admit the allegations or deny them in full or in part.
- 13.9 Where the employee admits the allegations in full, the Vice-Chancellor and President or nominee may take disciplinary action. If the allegations are denied in part or in full, the Vice-Chancellor and President or nominee shall give due consideration to the response of the employee and determine either that there has been no misconduct or serious misconduct or direct that the matter be referred to a Review Committee (University Enterprise Agreement: Clause 67 Review Committees).
- 13.10 The purpose of the Review Committee (University Enterprise Agreement: Review Committees) is to report to the Vice-Chancellor and President or nominee: the facts, as found by the Review Committee, relating to the alleged misconduct or serious misconduct; whether, in the Review Committee's opinion, the alleged conduct comprised either misconduct or serious misconduct; and taking any mitigating circumstances into account, to recommend what disciplinary action, if any, should be taken.
- 13.11 The Vice-Chancellor and President or nominee will consider the report of the Review Committee and will have five working days in which to determine what disciplinary action, if any, should be taken. Such determination will be communicated in writing by the Vice-Chancellor and President or nominee to the employee.
- 13.12 The action of the Vice-Chancellor and President or nominee under the requirements of the Enterprise Agreement shall be final, except that nothing in this subclause shall be construed as excluding the jurisdiction of any external court or tribunal which, but for this clause, would be competent to deal with this matter.
- 13.13 Where the Vice-Chancellor or nominee is satisfied that a complaint cannot be sustained, the Vice-Chancellor must dismiss the complaint and inform the person making the complaint accordingly.
- 13.14 Where the Vice-Chancellor or nominee is satisfied that there is no reasonable basis for a complaint the Vice-Chancellor must determine whether it is appropriate to take disciplinary action against the person making the complaint.

14 Research Misconduct Involving Collaborating Institutions or Individuals

- 14.1 All research activities conducted in collaboration between CQUniversity staff or students and researchers at other organisations shall require the establishment of an agreement for the collaboration that follows the general principles of the Australian Code for the Responsible Conduct of Research.
- 14.2 All instances of alleged or suspected research misconduct by a staff member or student of another Australian university in research activities conducted in collaboration with CQUniversity shall be referred in writing to the Vice-Chancellor of that University, to be dealt with according to the policies and procedures for research conduct at that institution.
- 14.3 All instances of alleged or suspected research misconduct by a staff member or student of an Australian or international organisation that is not a university shall be referred in writing to the Chief Executive Officer of that organization.
- 14.4 As a consequence of any alleged or suspected research misconduct by a staff member or student of an external organisation the Pro Vice-Chancellor (Research) and Deputy Vice-Chancellor (Academic and Research) may direct that the collaborative research activity be amended, reduced, or discontinued, as set out in the agreement for the collaboration.

15 Review Committee

- 15.1 A Review Committee established for dealing with allegations of Misconduct or Serious Misconduct will be established as expeditiously as possible with its composition as follows:
- A chair, selected by the Vice-Chancellor and President or nominee, who shall have prior relevant experience, be independent and command the confidence of management and employees;
 - An employee, previously not involved in the matter, nominated by the Vice-Chancellor and President or nominee; and
 - An employee previously not involved in the matter, nominated by the relevant Union.
- 15.2 A Review Committee shall proceed as follows:
- The terms of reference shall be those of the respective provisions for Misconduct or Serious Misconduct;
 - The Review Committee may interview any person it thinks fit to establish the merits or facts of the case and take into account such further material, as it believes appropriate to the case;
 - Conduct proceedings as expeditiously as possible consistent with the need for fairness;
 - Recognise that the employee and University management, if they so choose, may be represented before the Committee by representatives as defined in the University Enterprise Agreement;
 - Proceedings will be in camera but in the presence of the employee and where the employee and University management choose, their representative;
 - Both the employee and University management (or their respective, chosen representative) shall have the right to ask questions of interviewees, make submissions and to present and challenge evidence; and
 - A tape recording shall be made of all proceedings except the deliberations of Review Committee members. The recording will be made available to the employee, and where they choose, their representative and University management as they become available.

The report of the Review Committee will be provided to the employee and the Vice-Chancellor and President or nominee within 10 working days of the written request from the employee, or such other time as agreed between the Vice-Chancellor and President or nominee and the employee or at the employee's choice their representative. The report will include the Committee's reasons in support of its findings.

16 Appeals and Grievance Processes

16.1 Research Higher Degree Candidates and Students

Research higher degree candidates and research students who are aggrieved by decisions arising from investigations into research misconduct may appeal pursuant to the [Student Misconduct and Plagiarism Policy](#) and the [Student Misconduct Procedures](#).

16.2 Staff

Staff who are aggrieved by decisions or courses of action arising from investigations into research misconduct may invoke any rights of an appeal pursuant to criteria and procedures for reviews and appeals as provided in the current [University Enterprise Agreement](#).

DEFINITIONS

Research Misconduct constitutes any of the following:

- Non-compliance with any part of the University's Code of Conduct for Research;
- Fabrication or falsification of data or findings;
- Plagiarism in research-related matters;
- Use of others' intellectual property without due acknowledgment in research-related matters;
- Other practices that seriously deviate from those that are commonly accepted within the research community for proposing, conducting, or reporting research.

Research misconduct does not include honest errors or honest differences in interpretation of data. Substantiated research misconduct by research higher degree candidates or students constitutes misconduct according to the Student Misconduct and Plagiarism Policy and the Student Misconduct Procedures.

RESPONSIBILITIES

The University has determined that the Research Committee of Academic Board shall be responsible for establishing and reviewing policy guidelines for the proper conduct of research. Committee members act as advisers to give confidential advice to staff and candidates on integrity and responsible practice in research.

RECORDS

All records relevant to these procedures are to be maintained in a recognised University recordkeeping system.

SUPPORTING DOCUMENTS

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

Approval Authority	Academic Board
Administrator	Pro Vice-Chancellor (Research)
Original Approval Date	3 September 1997
Amendment History	Academic Board 1 December 2004; Academic Board 12 November 2010; Minor Amendments Approved Deputy Vice-Chancellor (Research) 14 May 2012; Academic Board 22 August 2012.
Date of Next Review	12 November 2013
Related Documents	Assignment of Authorship Policy Assignment of Authorship Principles Research involving Humans and/or Animals for Ethical Clearance Policy and Procedures Code of Conduct - Research in the Great Barrier Reef Marine Park Code of Conduct Student Misconduct and Plagiarism Policy Student Misconduct Procedures Central Queensland University Enterprise Agreement