Section 1: Introduction
Structure of this Manual

This manual is in two parts:

- the first part tells you the principles and practices underpinning the responsible conduct of research (Sections 2 – 9); and
- the second part tells you how the University responds to allegations that research has not been conducted responsibly (Sections 10 – 14).

This online manual is an introduction to responsible research practice and to the Codes. You should use it as a reference tool when conducting research.

If you have any questions about the Codes or are unsure of your responsibilities as a researcher, please contact a Research Integrity Adviser from any Faculty.

Section 2: General Principles of Responsible Research
Topic 1: Principles of responsible research

By the end of this section, you should:

- understand the principles of responsible research;
- be aware of your general responsibilities and know there are special responsibilities (for example, to Aboriginal and Torres Strait Islander research participants).

Responsible research has the following principles:

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

General responsibilities of researchers

You must demonstrate high standards of responsible research by:

- fostering and maintaining a research environment which:
  - respects the truth;
  - respects the rights of those affected by your research;
  - appropriately references and attributes the work of others;
  - manages conflicts of interests so that ethical and scholarly considerations are not compromised;
  - adopts methods appropriate for achieving the aims of each research proposal;
  - follows proper practices for safety and security;
  - cites awards, degrees conferred and research publications accurately, including the status of any publication such as "under review" or "in press";
  - uses and manages resources responsibly;

- - promotes compliance with the Codes;
  - conforms to the terms of contracts relating to the research;
- reporting research findings responsibly, this will be covered in more detail in Section 5: Publication and dissemination of research findings;
- respecting research participants by complying with the *National Statement on Ethical Conduct in Human Research* published by the NHMRC. This deals with:
  - ethical principles of integrity, respect for persons, justice and beneficence (this topic will be covered in greater detail in the SAFETRAC Human Ethics Course: National Statement on Ethical Conduct in Human Research); and
  - obtaining appropriate ethics approval where required;
- respecting animals used in research by complying with the *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes* published by the NHMRC and all applicable legislation and regulations;
- respecting the environment so that you minimise adverse effects on the wider community and the environment when conducting your research;
- reporting research misconduct in a timely manner, having regard to the University's policies (research misconduct is discussed later at Sections 10 to 14);
- having special consideration for the wide differences in the way Aboriginal and Torres Strait Islander individuals, communities or groups are involved in and affected by research. Please refer to the following publications:
  - *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research*;
  - *Guidelines for Ethical Research in Indigenous Studies*;
  - *Keeping Research on Track: A Guide for Aboriginal and Torres Strait Islander Peoples About Health Research Ethics*;
- encouraging appropriate consumer and community involvement in research, particularly in light of the *Statement on Consumer and Community Participation in Health and Medical Research*; and
- notifying the Office of Research Integrity immediately upon becoming aware of any breaches or possible breaches of the above requirements by you or anybody else involved with your research.

Section 3: Management of Research Data and Primary Materials
Topic 1: Proper management and retention of research data and primary materials

- By the end of this section, you should understand:
- responsible research includes proper management and retention of research data and primary materials;
- you have a responsibility to assess what to retain and to store it in a way that is durable and accessible;
- there are rules covering the ownership of research data and primary materials;
- there are rules governing the length of time data and primary materials must be stored;
- there are rules governing privacy and confidentiality;
- there are professional standards, legal requirements and contractual agreements that must be considered.

Responsible conduct of research includes the proper management and retention of research data and primary materials. This is important to protect yourself and the University. Someone could challenge the research or it may be difficult or impossible to repeat. Accordingly, you need to manage and retain your data properly.

The characteristics of research data and primary materials vary from project to project. Your research is subject to the accepted practices within your faculty and University Policies. It may also be subject to professional standards, legal requirements or contractual obligations. These sources may deal with ownership, storage, retention and access, and you should check them to ensure compliance.

Proper management and retention of research data and primary materials include:

- keeping research data and making sure the materials (including primary materials such as laboratory notebooks) are durable;
- making it accessible but safe and secure at the same time (for example, computing systems must be secure, and information technology personnel must understand their responsibilities for network security and access control);
- being able to identify the ownership of the research data and primary materials;
- ensuring the security and confidentiality mechanisms you use are consistent with confidentiality, privacy and ethical obligations;
- ensuring the privacy of recipients of "form" emails by use of the blind copy function; and
- managing the research data and primary materials if you or another researcher leave the University.

Section 3: Management of Research Data and Primary Materials
Topic 2: What you must do to ensure proper retention of research data and materials

You are responsible for the retention of your research data and primary materials. You must:

- keep clear and accurate records of research methods, data sources, approvals granted and consent forms signed;
- maintain a catalogue of the research data in an accessible form;
- discuss and agree with your research teams how to retain and store research data before starting joint research;
- identify confidential material (for example, participant information or proprietary data) as confidential, keep it confidential and use it only in the way agreed with the provider of the material;
- make research data available for use by other researchers unless prevented by an accepted practice within your faculty, University rule or policy, or obligations of confidentiality, privacy or ethics; and
- ensure research data and materials relating to joint research are provided to the lead researcher, faculty, institute or organisation who will be responsible for its retention and proper storage unless you have come to some other arrangement

Section 3: Management of Research Data and Primary Materials
Topic 3: Retention periods for research data and primary materials

The time you are required to retain research data and primary materials will vary according to professional standards, legal requirements and contractual arrangements. Our practice is to measure retention periods from completion or publication of the research, whichever is later. For example:

Data characteristics	Minimum retention period
Data of international significance	in perpetuity
Data with long term human or environmental effects eg. patient records	20 years
Data from clinical trials	15 years or otherwise in accordance with the requirements of the Therapeutic Goods Administration
Other research data (this excludes student generated data collected only for assessment purposes)	5 years

Where research results are challenged, all relevant data and materials must be retained for at least 6 months after finalisation of an investigation or, if it relates to research misconduct, for at least 6 months after the allegation of misconduct is determined. This includes waiting for the outcome of any appeals. At that point, you will still need to retain the data if the applicable retention period has not expired.

If you have any queries or concerns, please refer to:

- the University's Research Code and *Recordkeeping Policy*, *Recordkeeping Manual* and *Privacy Policy*;
- the University's Archives and Records Management Service whose contact details are located at http://sydney.edu.au/arms/.

University policies are located at http://sydney.edu.au/policies/.

Section 4: Supervision of research trainees
Topic 1: Supervision of research trainees

By the end of this section, you should understand:

- both trainees and supervisors have responsibilities;
- supervisors must provide adequate training and professional development for trainees in all aspects of research;
- training should start as early as possible;
- supervision includes oversight of methods and outcomes;
- supervisors and trainees must ensure appropriate attribution of work;
- trainees must proactively seek guidance and training.

Regardless of whether you are the research supervisor or the trainee, you should adopt a positive and proactive approach to supervision arrangements.

Be mindful that research trainees include research students and inexperienced researchers. They need to work in an appropriate intellectual and academic environment and receive training on research ethics, the Codes and any legislation, rules or policies that apply to their research.

Section 4: Supervision of research trainees
Topic 2: What you must do if you are supervising research trainees

As a supervisor of research trainees, you must:

- ensure that the research trainee or a candidate for a research trainee position is capable of carrying out the proposed project and is aware of the standards expected;
- ensure training starts as soon as possible;
- mentor and support research trainees by overseeing all stages of the research process (that is, setting the objectives and approach, obtaining ethics or other approvals, obtaining funding and resources, conducting the research and reporting the outcomes);
- ensure research methods are appropriate and valid. This will involve regularly meeting with the research trainee, setting progress indicators and getting progress reports, written work and research results;
- ensure research trainees receive appropriate credit for their work;
- provide constructive feedback and timely advice to the research trainee; and
- ensure participation in the work of the department including presenting at departmental seminars.

Section 4: Supervision of research trainees
Topic 3: What you must do if you are a research trainee

As a research trainee, you must:

- be professional and devote sufficient time to the project;
- complete all induction and training courses as soon as feasible after starting research;
- conduct the project within the time limits;
- attend frequent supervisory meetings and provide evidence of progress such as submission of reports or results;
- draw your supervisor's attention to any difficulties;
- participate in opportunities offered by the department to contribute to the department and the broader intellectual community; and
- be familiar with the Codes and all legislation, policies and rules relating to the conduct of your research.

This Manual is not exhaustive

These responsibilities are not exhaustive and each supervisor and research trainee must read, understand and comply with the specific requirements of supervision under the Codes and the *University of Sydney (Higher Degree by Research) Rule 2011* and *Supervision of Higher Degree by Research Students Policy 2013* policy.

University policies are located at http://sydney.edu.au/policies/.

Section 5: Publication and dissemination of research findings
Topic 1: Dissemination of research findings

By the end of this section, you should understand your responsibilities to:

- disseminate research findings, including to the wider public;
- be aware the Codes apply to all forms of dissemination including web pages, conference publications and presentations, exhibitions and films;
- be cautious about publishing preliminary findings;

- ensure publications are complete and where applicable include negative findings;
- provide a summary of research results to participants where possible;
- correct the record if you become aware of inaccuracies;
- cite work appropriately;
- not publish the same data multiple times;
- disclose research support;
- manage confidentiality.

You have a responsibility to disseminate your research as widely as possible, subject to any restrictions relating to intellectual property, confidentiality or cultural sensitivities.

The Codes apply to all forms of dissemination you might use, including:

- academic journals and books;
- non-refereed publications such as web pages;
- conference publications and presentations;
- other media such as exhibitions or films; and
- professional or institutional repositories.

If possible, you should provide research participants with an appropriate summary of the research results.

Section 5: Publication and dissemination of research findings
Topic 2: What you must do when disseminating research findings

When disseminating research findings, you must:

- provide a full account of your research and include any negative findings that are contrary to your hypotheses;
- correct any misleading or inaccurate statements about your work as soon as possible after you become aware of them; this includes statements published in preliminary findings;
- cite the work of others appropriately and accurately (authorship is discussed in Section 6);
- not submit the same research findings to several publications unless you also submit an explanation, appropriate referencing and disclosures;
- obtain permission from the original publisher before republishing research findings of others;
- include all sources of financial and in-kind support for the research (including acknowledging the host institution, partner institution and sponsors);
- include any potential conflicts of interest (conflicts of interest are discussed in Section 8);
- register clinical trials with the Australian New Zealand Clinical Trials Registry (http://www.anzctr.org.au) to promote access to information about all clinical trials;
- if you are a lead researcher or chief investigator, ensure that all parties involved in the research are aware of their confidentiality obligations or any contractual obligations that may restrict, delay or limit publication;
- where the confidentiality requirements of a third party who funds research prevent or delay peer review of research until after delivery to the third party, you must:
    - explain to the third party at the outset that the requirements will prevent peer review before delivery of the work to the sponsor; and
    - inform the third party at the time of delivery of the research results that they have not been subject to peer review; and

- champion the University's position on requests by sponsors to delay or restrict release of research findings. The University's position (as set out in its *Research Agreements Policy 2011*) is that sponsors should not restrict or delay publication of research findings without good reason. Commercial considerations might sometimes require short, finite delays.

The right to publish research findings is a critical tenet of academic freedom and the integrity of the research process.

University policies are located at http://sydney.edu.au/policies/.

Section 5: Publication and dissemination of research findings
Topic 3: Additional considerations when publicly communicating research findings

Prior to publicly communicating research findings, you should also consider:

- having the findings tested through peer review;
- informing interested parties or those impacted by the research before informing the media;
- whether there is any obligation to disclose findings that have a strong commercial element to the stock exchange or another relevant financial body before they are disclosed to the public; and
- any confidentiality obligations.

Section 6: Authorship
Topic 1: Determining authorship
By the end of this section, you should understand that:

- there are criteria governing attribution as an author;
- to be listed as an author, you must make a significant scholarly contribution to a work;
- all contributions should be acknowledged fairly;
- authorship criteria apply to all forms of publication including web based;
- communication about authorship is important;
- written agreements are recommended.

The requirements for acknowledgment or attribution as an author can vary between disciplines and it is your responsibility to familiarise yourself with those relevant to your discipline prior to conducting research.

Generally, in order to be attributed as an author, you must have made a substantial scholarly contribution to the work. This includes substantial intellectual contribution to a published work in one or more of the following areas:

- conception and design of the project;
- analysis and interpretation of research data; or
- drafting significant parts of the work or critically revising it in a way that contributes to its interpretation.

The following are irrelevant when considering whether to attribute authorship:

- the position or profession of the proposed author;
- the existence of a personal relationship between the author(s) and a proposed author;
- whether the contribution was paid for or made voluntarily;
- whether the proposed author provided materials, equipment, access to study participants or data, routine assistance or funding, or provided general supervision of the research team; or
- participation in the research by making measurements on which the publication is based, without further intellectual input into the project or publication.

Section 6: Authorship
Topic 2: What you should do in respect of authorship

You should:

- comply with the authorship requirements of the Codes and follow guidelines issued by any funding body or journal publisher;
- communicate and agree on authorship with your collaborators at an early stage of the project and review these decisions periodically;
- not include or exclude a person as an author without their written permission if that person qualifies as an author;
- include a person as an author if that person is deceased or cannot be contacted, as long as there are no grounds to think that person would object to being named as an author;
- offer authorship to all persons (including research trainees) who meet the criteria for authorship; and
- acknowledge contributions other than authorship for example, research assistants and technical writers who have collected data during the project who have provided their written permission to be named. If the contributor cannot be located, you should acknowledge the contributor unless there are grounds to think that person would object to being named as a contributor.

If there are several authors of a work, you and your team should appoint one person as the corresponding author to be responsible for recording authorship and managing communications about the work with the publisher. The corresponding author should retain any written acknowledgements of authorship, preferably in writing with an original signature.

Editors of significant collective works or anthologies have responsibilities similar to those of authorship. The criteria for an 'editor' are similar to the criteria for an 'author'. The term 'editor' should be applied only to a person who has played a significant intellectual role in shaping the publication.

Section 7: Peer review
Topic 1: Peer review
By the end of this section, you should understand:

- what 'peer review' is;
- the importance of peer review in research and why the University encourages participation in it;
- researchers in receipt of public funding have a responsibility to participate in peer review;
- the principles of responsible peer review;
- the responsibilities of researchers who are having their work peer reviewed;

- supervisors have a responsibility to assist trainees in developing skills for peer review.

The Codes define 'peer review' as an '*impartial and independent assessment of research by others working in the same or related field*'.

The University encourages peer review because it:

- provides expert scrutiny of a project;
- helps maintain high standards;
- encourages accurate, thorough and credible research reporting; and
- may draw attention to deviations from the Codes and other applicable policies or requirements.

If you receive public funding, you have a responsibility to participate in peer review.

What you must do as a peer reviewer

As a peer reviewer, you must:

- be fair and timely in your review;
- maintain confidentiality and not disclose the content or outcome of any process in which you are involved;
- consider possible conflicts of interest (conflicts of interest are discussed in Section 8). You should:
    - consider whether it is appropriate for you to participate in the review if there are possible conflicts of interests; and
    - if there are possible conflicts of interest but you decide it is appropriate to participate, declare the possible conflicts of interest;
- inform yourself of the criteria to be applied and comply with the criteria;
- give proper consideration to research that challenges or changes accepted ways of thinking;
- not allow personal prejudice to influence the peer review process or introduce considerations not relevant to the review criteria;
- not take undue or calculated advantage of knowledge obtained during the peer review process; and
- not participate in a peer review outside your area of expertise.

The University's *External Interests Policy 2010* is located at http://sydney.edu.au/policies/.

What you must do when participating in peer review

When participating in a peer review, you must not seek to influence the process or outcomes.

If you supervise research trainees, you must assist those trainees to develop the necessary skills for peer review and help them to understand their obligations to participate in peer review.

Section 8: Conflicts of interest
Topic 1: What is a conflict of interest?
By the end of this section, you should understand:

- what a conflict of interest is;
- there are policies and codes governing the management of conflicts;
- the implications of conflicts;
- what a perceived conflict is;
- your responsibility to disclose and manage conflicts;
- the circumstances in which you should withdraw.

Conflicts of interest can arise where there is a divergence between your individual interests and your professional responsibilities, including your duties to the University. You have a responsibility to ensure that your professional responsibilities are not influenced by your own interests. A good way to judge this (which is the way the courts look at it) is to ask what an independent observer would think was the right thing to do.

Conflicts of interest in research can arise in various ways. An obvious conflict of interest can arise where your individual financial interests may impact on performance of your professional responsibilities in research - for example, writing a scathing review of a new journal in your field, without disclosing that you are a paid editor of a rival journal in the same field. Other common conflicts involve professional and institutional advantages.

Even if there is no actual conflict of interest, the perception that a conflict of interest exists can raise concerns about your integrity, or the management practices of the University. These are known as perceived or apparent conflicts of interest.

Conflicts of interest in the research area are common and often cannot be avoided. It is crucial that you disclose both actual and perceived conflicts of interest to ensure they are managed appropriately. Failure to disclose or manage them may undermine community trust in research and put you in breach of funding agreements.

In themselves, conflicts of interest are not 'bad things' but they must be disclosed. Sometimes, they may mean you cannot be involved in the particular research. Often, however, they can be managed through the disclosure process. If you are not sure whether there is a conflict or perceived conflict, you should err on the side of caution and disclose.

Section 8: Conflicts of interest
Topic 2: The University's policies

The University has a policy for managing conflicts of interest: *External Interests Policy 2010* (**External Interests Policy**).

The University's expectations in relation to the approval and management of outside earning activities by you are set out in the *Outside Earnings of Academic Staff Policy 2011* (**Outside Earnings Policy**). The obligations set out in this policy are additional to the requirements of the External Interests Policy, and apply to all academic staff.

University policies are located at http://sydney.edu.au/policies/.

Section 8: Conflicts of interest

Topic 3: What you need to do to avoid or manage conflicts of interests

You must:

- familiarise yourself, and comply, with the External Interests Policy and the Outside Earnings Policy (if applicable);
- maintain records of activities or interests that may lead to conflicts;
- when invited to join a committee, review your current activities and interests for actual and perceived conflicts, and bring possible conflicts to the attention of those running the process; and
- disclose any actual or perceived conflict of interest as soon as it becomes apparent.

When you disclose a conflict of interest, your executive manager will consult with you and prepare a conflict management plan. The conflict management plan should require that you do not take part in decision making processes affected by that conflict of interest.

Section 9: Collaborative research across institutions
Topic 1: Collaboration in research
By the end of this section, you should understand:

- the reasons for collaborations;
- the need to comply with collaboration agreements.

As a researcher, you may collaborate with researchers from different disciplines at the University, other institutions or commercial organisations. Your collaborators may be local or international.

When working with other researchers, you gain access to a broader knowledge base and facilities which improves research progress and outcomes. This, in turn, can facilitate the uptake of research and development by business, supporting further innovation and development.

Considerations when collaborating in research

When you participate in collaborative research, you will need to consider how to share intellectual property (see Sections 5 and 6), manage research findings (see Sections 3 and 5), manage conflicts of interest (see Section 8) and commercialise research outcomes.

It is important to protect your intellectual property, and to understand what is patentable. If you require assistance in ensuring your intellectual property is protected when collaborating, you should contact Commercial Development and Industry Partnerships (CDIPhttp://sydney.edu.au/sydnovate) for advice.

When involved in joint research projects, all parties must sign a written research collaboration agreement that covers:

- ownership of, and dealing with, intellectual property;
- confidentiality;
- responsibility for ethics and safety clearances;
- reporting requirements;
- protocols for dissemination of research outcomes; and

- management of primary research materials and research data.

This agreement must be consistent with the *Research Agreement Policy* located at http://sydney.edu.au/policies/.

You must be aware of, and comply with, all polices and written agreements affecting a joint research project.

Section 10: Notification of statutes
Topic 1: Notification of statutes
By the end of this section, you should understand the need to report breaches of relevant statutes to the Office of Research Integrity.

The University has a legislative compliance framework in place for ensuring compliance with relevant laws. It is important that the University is aware of breaches of any law because this assists with managing and identifying areas of risk. It also assists with embedding a compliance culture at the University.

The chief investigator or lead researcher of any project must notify the Office of Research Integrity in writing where they are aware of a breach of any law relating to how the research is carried out. For example, this would include breaches of:

- *Human Tissue Act 1983* (NSW);
- *Research Involving Human Embryos Act 2003* (NSW);
- *Animal Research Act 1985* (NSW); or
- *Therapeutic Goods Act 1989* (Cth).

Breaches are recorded in quarterly reports presented to the Senate Safety and Risk Management Committee for monitoring.

Section 11: Research Misconduct - background
Topic 1: Research misconduct - background
By the end of this section, you should understand:

- the University's framework for the management of allegations of research misconduct;
- why the University has a framework specifically for research misconduct;
- the framework does not address disciplinary issues.

Overview of how the University deals with allegations of research misconduct and breaches of the Code

The University has developed processes, outlined in the University's Research Code, for handling allegations of research misconduct and breaches of the Codes. It is important that you understand these processes.

If a complaint is made against you, you will be treated fairly. The University will ensure that you understand the allegations made against you and have an opportunity to respond to those allegations.

The University is committed to fostering an environment where, when necessary, you can make a complaint against another researcher without fear for your safety, career or reputation.

If a complaint is made against a researcher, the University may:

- summarily dismiss the complaint
- refer the complaint to the designated person for an initial inquiry;
- refer the complaint to the faculty or department
- refer the complaint elsewhere in the University (for example, Audit and Risk Management, Human Resources or the Privacy Officer)
- commence a research misconduct investigation;
- if allegations are substantiated, impose a sanction or penalty that is appropriate in all the circumstances of the case;
- take action to remedy the situation; and/or
- inform the appropriate external parties who may have an interest in the complaint (for example, NHMRC, ARC or ICAC)

Reasons for establishing a research misconduct framework

The framework is necessary because:

- the organisations that provide research funding to the university require that a framework is in place
- research is complex and technical issues can arise, the existence of a framework ensures that complaints are managed consistently;
- third parties, such as collaborators, publishers and potential beneficiaries of the research, will be from outside the University and, as we accept external funds, we are required to have a framework that allows complaints to be made by external and internal parties; and
- allegations of research misconduct are a serious matter and the public must be reassured that we are handling allegations appropriately.

The research misconduct framework is designed to describe the process for managing complaints. The framework does not address disciplinary issues.

Section 12: What is research misconduct
Topic 1: Research misconduct
By the end of this section, you should understand:

- what research misconduct means;
- not all breaches of the Codes will amount to research misconduct.

It is important that you understand what 'research misconduct' means because it can have serious ramifications such as termination of employment (for staff) or exclusion from the University (for students).

Research misconduct is a broad concept. It includes academically dishonest practices that seriously deviate from those that are commonly accepted within the research and scholarly community for proposing, conducting or reporting research.

A complaint or allegation relates to research misconduct if it involves all of the following:

- an alleged breach of any the University's Research Code;
- intent and deliberation, recklessness or gross and persistent negligence; and
- serious consequences such as false information on the public record, or adverse effects on research participants, animals or the environment.

Type of research misconduct

Research misconduct includes any of the following on the part of any researcher:

- fabrication, falsification, or deception in proposing, carrying out or reporting the results of research;
- plagiarism in proposing, carrying out or reporting the results of research;
- failure to declare or manage a serious conflict of interest;
- an avoidable failure to follow research proposals which were approved by a research ethics committee, particularly where this failure may result in:
    - unreasonable risk to humans, animals or the environment; or
    - a breach of privacy;
- the wilful concealment or facilitation of research misconduct by others;
- a misleading ascription of authorship;
- intentionally and without authorisation taking, sequestering or materially damaging any research-related property of another;
- conducting research involving animals without the required animal ethics committee approval;
- risking the safety of human participants or the wellbeing of animals or the environment; and
- deviations from the University's Research Code which occur through gross or persistent negligence.

Repeated or continuing breaches of the University's Research Code may also constitute research misconduct and will be considered research misconduct if the breaches have been the subject of previous counselling or specific direction.

Not all breaches of the Codes will result in a finding of research misconduct. Research misconduct does not include honest differences in judgment, and may not include honest errors that are minor or unintentional.

Section 13: Responsibilities
Topic 1: Persons involved when allegations of research misconduct are made
By the end of this section, you should understand the responsibilities of the various persons involved when allegations of research misconduct are made.

Research Integrity Advisers are available to discuss any concerns you may have and are able to explain the options open to you if you are considering making, or have made an allegation.

If an allegation of research misconduct is made, a number of people will be involved in dealing with the allegation. These may include:

- the *Director of Research Integrity*, who receives complaints of research misconduct and determines:
    - which designated person will conduct the initial inquiry into the allegation; and

- o   if other individuals or organisations need to be informed.
- the *designated person*, who conducts the initial inquiry into the allegation;
- the *Deputy Vice-Chancellor (Research)*, who:
  - o   receives the report from the designated person at the conclusion of the initial inquiry;
  - o   determines whether an investigation should take place:
  - o   appoints (where required) an investigator or investigation panel to conduct a formal investigation; and
  - o   informs relevant parties of the formal investigation findings and actions taken by the University.
- the *investigator* or *investigation panel*, who conducts the formal investigation and submits a final report to the Deputy Vice-Chancellor (Research);
- the *Registrar*, who is responsible for recommending to the Vice-Chancellor whether allegations about students warrant investigation in accordance with the *University of Sydney By-Law 1999 (NSW) (as amended)* (**University By-Law**). The University By-Law can be obtained at http://sydney.edu.au/senate/bylaw.shtml.
- the *Dean, Head of School* or *Supervisor* of the researcher who will be charged with implementing the recommended actions of the investigation
- the *Director* of any associated external organisation for example, a medical research institute (MRI)

Section 14: Research misconduct framework
Topic 1: Making allegations of research misconduct

By the end of this section, you should understand:

- the steps in the research misconduct framework; and
- the person to whom you should make complaints of research misconduct.

You are encouraged to raise any concerns you may have about the conduct of research with a Research Integrity Adviser, your Head of Department, Supervisor or Chair of the Relevant Faculty Research Committee prior to making an allegation. They will advise you that you can:

- refer the allegation directly to the person against whom it is made;
- not proceed with, or withdraw, the allegation if discussion resolves your concerns;
- refer the allegation to a person in a supervisory capacity for resolution at your local or departmental level; or
- make a written allegation of research misconduct to the Director of Research Integrity.

The University expects that all complaints or allegations of research misconduct will be made in good faith.

Section 14: Research misconduct framework
Topic 2: Initial inquiry into allegation of research misconduct

If you make an allegation, the Director of Research Integrity will designate one of the following persons to conduct an initial inquiry into the allegation:

- the Pro Vice-Chancellor (Academic Affairs);

- the Director, Research Development;
- the Deputy Vice-Chancellor (Education);
- the Provost; or
- in exceptional circumstances, another appropriate person nominated in writing by the Deputy Vice-Chancellor (Research).

At the conclusion of the initial inquiry, the designated person will provide the Deputy Vice-Chancellor (Research) with a report recommending how the matter should proceed.

Section 14: Research misconduct framework
Topic 3: Formal investigation

The Deputy Vice-Chancellor (Research) will determine whether the matter warrants further investigation. If the Deputy Vice-Chancellor (Research) concludes that an allegation warrants investigation, the Deputy Vice-Chancellor (Research) will:

- for *staff members* or *affiliates*, initiate a research misconduct investigation; or
- for *students*, refer the matter to the Registrar in accordance with the *University of Sydney By-Law 1999 (NSW) (as amended)*(**University By-Law**).

Section 14: Research misconduct framework
Topic 4: Disciplinary action after the research misconduct investigation

The research misconduct framework is designed to describe the process, it does not address disciplinary issues. If a staff member is found to have breached the Code or to have committed research misconduct the University will take disciplinary action according to the applicable policies and the provisions or any applicable contract of employment or Enterprise Agreement, and commensurate action (such as termination of an honorary appointment) will be taken in the case of research misconduct by an affiliate. Disciplinary issues are dealt with as:

- misconduct or serious misconduct and a breach of the *Code of Conduct – Staff and Affiliates* (**Code for Staff and Affiliates**) where staff are concerned;
- misconduct and a breach of the *Code of Conduct for Students* where students are concerned; or
- misconduct and a breach of the *Code for Staff and Affiliates* where affiliates are concerned.

As a staff member, if you are found to have committed research misconduct, disciplinary action may include:

- counselling;
- a direction to participate in mediation;
- a written warning;
- a reduction of salary; and/or
- termination of employment.

Proportionate action will be taken in the case of research misconduct by an affiliate. For example, your honorary appointment might be terminated.

As a student, disciplinary action will be limited by the provisions of the University By-Law but the Registrar may recommend that penalties be imposed. The penalties may include:

- expulsion or suspension from the University;
- fines; and
- reprimands.

The DVC(R) will inform relevant parties of the research misconduct inquiry findings and the actions taken by the University. Relevant parties may include:

a. the complainant;
b. affected staff;
c. participants in human-based research whose interests may be affected;
d. research collaborators, including those at other institutions;
e. all funding organisations;
f. journal editors; and
g. professional registration bodies.

The University Codes of Conduct are located at http://sydney.edu.au/policies/