Research Quality

1.0 Purpose

The *Research Quality Framework* (RQF) is an overview of the University's management of legal and regulatory obligations relating to research, and the main mechanism to ensure that research is conducted ethically, responsibly, and with integrity.

2.0 Scope

The Framework applies to all paid and unpaid Staff, including adjunct appointments, academic title holders, visiting appointments, and contractors, as well as students (including HDR candidates) who conduct or assist with the conduct and/or management of research at or on behalf of Griffith University.

3.0 Framework

The context of the RQF is established by the *Griffith University Strategic Plan* and the *Research and Innovation Plan* and aligned with the *Quality Assurance Policy*. Policies, procedures, tools and legislation relating to the responsible conduct of research are organised and listed within the following sections.

The Framework does not attempt to override or replace broader University policies, procedures, or guidance, but rather is designed to i) ensure that all staff and students are aware of and understand their ethical, legal, and regulatory compliance obligations, ii) conduct and manage research in a manner consistent with these obligations and iii) promote high standards of research quality (including integrity). The framework is underpinned by the:

- *Griffith University Act 1998*
- *Public Sector Ethics Act 1994*
- *Australian Code for the Responsible Conduct of Research (Australian Code)*
- Individual researchers and the University are required to conduct themselves in accordance with the *Australian Code* and the standards set out in the relevant Griffith *Code of Conduct or Student Charter Framework.*

3.1 Principles of responsible research conduct

Griffith University adheres to and supports the principles of conducting responsible research described in the *Australian Code for the Responsible Conduct of Research* and complies with the responsibilities of institutions described in the *Australian Code*. Research at Griffith University is guided by and

compliant with the eight principles of responsible research conduct which are the hallmarks of the *Australian Code* (*p.2*):

- **Honesty** in the development, undertaking and reporting of research. Present information truthfully and accurately in proposing, conducting, and reporting research.
- **Rigour** in the development, undertaking and reporting of research. Underpin research by attention to detail and robust methodology, avoiding or acknowledging biases.
- **Transparency** in declaring interests and reporting research methodology, data and findings. Share and communicate research methodology, data and findings openly, responsibly and accurately. Disclose and manage conflicts of interest.
- **Fairness** in the treatment of others. Treat fellow researchers and others involved in the research fairly and with respect. Appropriately reference and cite the work of others. Give credit, including authorship where appropriate, to those who have contributed to the research.
- **Respect** for research participants, the wider community, animals, and the environment. Treat human participants and communities that are affected by the research with care and respect, giving appropriate consideration to the needs of minority groups or vulnerable people. Ensure that respect underpins all decisions and actions related to the care and use of animals in research. Minimise adverse effects of the research on the environment.
- **Recognition** of the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them. Recognise, value and respect the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples. Engage with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they freely make decisions about their involvement. Report to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged.
- **Accountability** for the development, undertaking and reporting of research. Comply with relevant legislation, policies, and guidelines. Ensure good stewardship of public resources used to conduct research. Consider the consequences and outcomes of research prior to its communication.
- Promotion **of responsible research practices**. Promote and foster a research culture and environment that supports the responsible conduct of research.

3.2 Research governance and delegations

The *Griffith University Act 1998* confers powers to the *Griffith University Council* as the governing body of the University. The Council has overall responsibility to provide leadership, good governance and oversight of the University and utilises a system of delegations and reporting to ensure accountability of its governance responsibilities. The *Academic Committee* is the senior body within the University which makes recommendations to the Council on academic matters and is the approving authority of academic policies including research policies including the *Research Entity Policy*. The Vice-Chancellor delegates approving authority of documents pertaining to research areas to the Deputy Vice-Chancellor (Research) or in accordance with the *Delegations Register.* The Research Committee makes recommendations to the Academic Committee and advises the Deputy Vice Chancellor (Research) on matters concerning the University's research profile.

The Board of Graduate Research makes recommendations to the Academic Committee and advises the Deputy Vice Chancellor (Research) through the Dean Griffith Graduate Research School on strategic planning, policy, and quality assurance matters concerning higher degree by research (HDR) programs and candidature, research training and higher doctorate arrangements.

The *Policy Governance Framework* provides the structure for managing, developing and reviewing University policies, procedures and guidelines to ensure that policy documents reflect the University values, comply with legal requirements, support quality assurance, reduce risk and are readily accessible by the University community. The *Griffith University Act 1998*, together with the University policies and procedures, establish the conditions under which delegations and other authorities are exercised within the University. The *Delegations Framework* provides the structure for the allocation, exercise and management of delegations of authority.

3.3 Research ethics, integrity and governance

All research conducted at Griffith must embed research ethics and integrity within the design, conduct and reporting of the results of research. Researchers must conduct research in accordance with *The Australian Code for the Responsible Conduct of Research* (*Australian Code*) and the *Griffith University Responsible Conduct of Research Policy*.

Research ethics is governed by either the *Human Research Ethics Committee* (HREC) or the *Animal Ethics Committee* (AEC). The *University Biosafety Committee* advises Griffith University on policies, procedures and compliance related to Genetically Modified Organisms (GMOs).Other high risk biological materials are managed and regulated in accordance with *Schedule of High Risk Biological Materials monitored by the University Biosafety Committee* and *Managing Biosafety and Biosecurity Risks*.

Staff and students at Griffith are responsible for ensuring that their research complies with the *Australian Code for the Care and Use of Animals for Scientific Purposes*, the *Queensland Animal Care and Protection Act 2001*, and the *National Statement on Ethical Conduct of Human Research 2023*.

Research ethics and integrity are supported and guided by the *Research Ethics and Integrity* team within the Office for Research, by academic staff who are appointed as *Research Ethics Advisors*, *Research Integrity Advisors* and by the *Griffith University Research Ethics Manual (GUREM)*.

Researchers must conduct research within Griffith in accordance with these policies, codes and procedures and must ensure that appropriate approvals are obtained from the relevant ethics committee (HREC or AEC) including committees external to the university when research is carried out at other organisation or facility, before the commencement of research (or any expenditure of funds related to that research).

The NHMRC guide to managing and investigating breaches of the Code outlines definitions of breaches of the Australian Code. Any allegation in relation to a potential breach of the Australian Code will be investigated in line with the Griffith University *Research Integrity Breach Investigation Procedure*.

Clinical trials are defined as "any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes." All clinical trials should be approved by an *NHMRC registered HREC*, and conducted in accordance with *National Statement 2023*, the *ICH Guideline for Good Clinical Practice (Annotated by the TGA)*, the *Australian Clinical Trials Handbook, and* the *NHMRC Guide on Safety monitoring and reporting in clinical trials involving therapeutic goods.*

[In Progress – expected completion April 2025]

Clinical trials start up guide; Clinical Trials Governance Procedure

(Early guidance available on request from m.naughtin@griffith.edu.au)

3.4 Researcher conduct

'Researchers' includes all staff members, students including undergraduates undertaking University research activities and HDR candidates, adjunct appointments, academic title holders, visiting appointments, contractors, whether funded or unfunded.

All Researchers must act in a manner consistent with the NHMRC's *Australian Code* and the University's *Responsible Conduct of Research Policy*. Researchers applying for or reviewing Australian Research Council (ARC) grants must act in accordance with its Policy on Use of Generative Artificial Intelligence in the ARC's grants programs.

Other policies, procedures and tools which guide researcher conduct include the *Code of Conduct* and *Student Charter Framework* referenced in Section 1.0 as well as:

- *Academic Freedom and Freedom of Speech Policy*

- *Research Integrity Resource Sheets*
- *Fraud and Corruption Control Policy*
- *Fraud and Corruption Control Procedure*
- *Personal Relationships in the Workplace*
- *Guide to the Responsible Conduct of Commercialisation Activities*
- *Conflict of Interest Policy*
- *Private Practice Policy*
- *Intellectual (IP) Policy*
- *Research Authorship Procedure*
- *External Research Funding Management Policy*
- *External Research Grants Procedure*
- *Student Conduct Safety and Wellbeing Policy*
- *Consultancy and Commercial Research Policy*
- *Consultancy and Commercial Research Procedure*

3.5 Management of research funding

The University will only accept research funding that is consistent with the University's core principles of excellence, ethical behaviour and engagement and that are aligned with the research integrity guidelines, *Code of Conduct* and *External Research Funding Management Policy.*

All research programs or projects funded by research grants, consultancy and commercial research, *philanthropy* or other sources either internal or external to the University must be compliant with human or animal ethics protocols, support the *Academic Freedom and Freedom of Speech Policy* uphold *The Responsible Conduct of Research Policy* and the University *Intellectual Property (IP) Policy. Guidance and procedures in relation to commercial research will be available in the Consultancy and Commercial Research Procedure.*

Funds received to support research undertaken by Staff are University-managed funds and therefore expenditure must be compliant with the University's financial policies. Researchers do not have delegated authority to sign any funding agreement relating to their own research on behalf of the University.

Research funding is categorised as a research grant, research consultancy, commercial research (CCR) funding, or philanthropy. Submission of research proposals and funding applications and administration of research grants, consultancy projects and commercial research, and philanthropy funding must be authorised by the appropriate delegate in accordance with the *Signing Sub-Delegations – Guidelines on recommended consultations before a contract is signed, the External Research Funding Management Policy*, *the Consultancy and Commercial Research Procedure* and the *Philanthropy and Fundraising Policy*.

Further information about the management of research funds including resources and support for researchers is available via the following links:

- *Office for Research Resource Hub (Sharepoint site) (Griffith login required)*
- *Griffith Enterprise – Consultancy and Commercial Research (Griffith login required)*
- *Guide to the Responsible Conduct of Commercialisation Activities*
- *Guidelines Full Costing of Projects Funded by External Research Grants*
- *Philanthropy Australia Guidelines*
- *Griffith University Office for Advancement*
  - *Philanthropic Research Income Establishment Procedure*
  - *Assessing Philanthropic Income Guide*
  - *Case Reporting Rules for Advancement*

3.6 Disclosure of interests and activities

Consistent with the Griffith University *Code of Conduct*, the *Australian Code*, and the University's *Responsible Conduct of Research Policy* the University requires researchers to disclose interests and

manage conflicts of interests (potential, perceived or actual). All staff are required to disclose and manage COIs in accordance with the *Conflict of Interest (COI) Policy*. Researchers supervising HDR candidates have conflict of interest disclosure obligations in the appointment of HDR thesis examiners as addressed in the *Appointment of HDR Examiners and Chairperson Examiners Guidelines*.

A COI disclosure is made through a *Declaration of Interest Submission.* Researchers may have additional COI disclosure obligations that are specific to a research grant or CCR funding agreement or philanthropic donation. Management of COIs must be prepared by the staff member in consultation with their supervisor in accordance with the *Declaration of Interest for Members of Staff Procedure (in development – for early guidance contact policy@griffith.edu.au)*. The COI policy is supported by overarching documents including *Private Practice*, *Gifts and Benefits*, and *Public Interest Disclosure*.

3.7 Intellectual Property

The Intellectual Property (IP) Policy and the IP Procedure (under development – for early guidance contact Griffith Enterprise for detail the University's requirements regarding the disclosure and management of IP created by staff and students whilst employed or enrolled at the University. The IP Policy forms part of the conditions of employment (Staff) and enrolment (students). All intellectual property created with the use of University resources will be managed in accordance with the Policy. In general, the University owns the IP created by staff when engaged by the University and/or when using University resources in the conduct of research unless explicitly stated otherwise in the IP Policy or in funding agreements with specific clauses about the creation, ownership and application of IP. Students own the IP which they create in the course of their enrolment with the University (their research project), unless other arrangements have been agreed as per the IP Policy.

3.8 Privacy, information, technology, and research data

3.8.1 Privacy

Griffith University adheres to Commonwealth and Queensland legislation and regulations which protect privacy and provides rights to access information including the *Privacy Act 1988 (Cth), Privacy Amendment (Enhancing Privacy Protection) Act 2012 (Cth), Right to Information Act 2009 (Qld), Right to Information Regulation 2009 (Qld), Information Privacy Act 2009 (Qld),* and *Information Privacy Regulation 2009 (Qld)*.

The *Privacy Statement* has specific provisions which apply to research and research participants because the University collects, stores and uses research participants' personal information to administer research programs. The University requires researchers to demonstrate that potential research participants have given voluntary, informed consent consistent with the *National Statement on Ethical Conduct in Human Research*. Researchers must also keep a record of that consent. It is the responsibility of the researcher and the relevant Group/Element to ensure compliance with all relevant data protection laws and regulations.

3.8.2 Information, technology and storage

The *Information Governance and Management Framework* and related policies support a consistent enterprise approach to information governance and information management across the University. The *Information Framework* applies to all persons, other than students, and entities where they manage, create or use Griffith information or are authorised to access institutional data or information. The *Information Framework* applies to information resources hosted both on the University premises and externally.

The *Information Technology Code of Practice* provides guidance to authorised users about the appropriate access and use of IT resources regardless of whether resources are used on or off-campus. IT resources must be used and managed responsibly for appropriate educational, research and business activities and sanctions are enforced for irresponsible or inappropriate use. Guidance on the use of artificial intelligence in research is provided on the *Griffith AI Hub and the AI in Research Sharepoint*.

The *Information Security Policy* describes the University's approach to information security and protection of University IT resources. IT resources are strategic assets and must be appropriately managed and protected to ensure confidentiality, integrity, and availability.

The *Cloud Hosting Policy* sets out the principles, objectives and responsibilities for externally hosting services or data by anyone within the University. The use of external cloud-based research services must comply with the *Cloud Hosting Policy*.

3.8.3 Research data

The *Australian Code* guidelines on the *Management of Data and Information in Research* are intended to assist institutions and researchers to understand their responsibilities and adhere to relevant aspects of the *Australian Code*. Under the Code, researchers will "retain clear, accurate, secure and complete records of all research including research data and primary materials. Where possible and appropriate, allow access and reference to these by interested parties." *(NHMRC Management of Data and Information in Research, p.5).*

The ARC Funding Agreement requires that a data management plan be in place prior to commencing any ARC funded research project. The University's *Working with Data* and *Research Storage* website provides an overview of procedures on accessing secure data storage solutions for researchers. Further information on resources and support for researchers in research data storage is available via *eResearch Services.*

3.8.4 Data for Research Administration

Data collected for the purposes of administering the university's research endeavour includes publications, income, and higher degree research completions among others. Data from all public universities are routinely collected and reported under the *Commonwealth Department of Education Higher Education Research Data Collection (HERDC)* specifications. University systems are used to gather, collect, verify, and report data for these purposes and that the quality of data submitted to these systems is shared responsibility between researchers and the Office for Research. *Griffith Research Online* (GRO) is an institutional library managed repository that provides access to full text and metadata of research outputs and datasets to comply with Open access requirements.

[In progress – expected completion July 2025]

Research Data Management Framework and Policy/Procedures/Guidelines

*(Early guidance available on request from eresearch-support@griffith.edu.au and library@griffith.edu.au*mailto:*)*

[In Progress – expected completion December 2025]

Intellectual Property Procedure

3.9 Collaborative research

The University values and encourages collaborative research practices as stated in the *Research and Innovation Plan*. The *Australian Code* guidelines on *Collaborative Research* assist the University and researchers to understand their responsibilities, adhere to relevant principles of the *Australian Code*.

The *Research Entity Policy* and the *Consultancy and Commercial Research Policy* apply whether through interdisciplinary or multi-disciplinary research collaborations or working collaboratively with external entities including government, industry or the not-for-profit sector. Griffith encourages research collaboration with international parties in accordance with the guidance provided on the *Secure Engagement with International Parties Hub*. Collaborative student research training programs are available between Griffith University and international universities and are delivered in accordance with the *Guidelines for Developing Cotutelle (Dual) and Joint Doctoral Award Programs.*

All researchers must communicate with OR, GE, Griffith International Partnerships Office and Legal Services Unit where applicable.

3.10 Secure foreign engagement

Staff and students including HDR candidates must follow the guidance contained within The Australian Government Department of Education *Guidelines to Counter Foreign Interference in the Australian University Sector*. Griffith's *Secure Engagement with International Parties Hub* is where University staff and students can find links to information, resources and training to ensure their interactions with international parties are conducted safely and securely and in line with a range of legislated obligations. Researchers should understand foreign interference versus foreign influence, the imperatives of international engagement due diligence ('know-your-partner'), and procedures for cybersafe traveling. Resources are continually being developed and added to the site to support secure international collaboration and streamlined compliance with legislated reporting obligations.

3.10.1 Autonomous Sanctions

The University *Sanctions Compliance* website covers University compliance *with Autonomous Sanctions Act 2011* and assists in ensuring the University takes reasonable precautions, and exercises due diligence, to avoid contravening Australian Sanctions Laws which apply to all research conducted at Australian universities. Researchers should also refer to *Guidelines to Counter Foreign Interference in the Australian University Sector.*

Research activities involving connection with a sanctioned country and items on the *Defence and Strategic Goods List (DSGL)* require assessment by the University. A connection with a sanctioned country can include staff, students, visitors with citizenship in a sanctioned country, collaboration or the provision of goods or services to an individual or entity in a sanctioned country or receiving funding from an individual or entity in a sanctioned country.

The sanctions regime applies to all researchers including HDR candidates. The University has an *International Engagement Checking Tool* to facilitate decisions about whether recruitment and research activities connected to sanctioned countries do not represent a risk for the university or Australia.

Assessment of research staff applicants (including paid, unpaid, casual and visiting academics) from sanctioned countries is performed in accordance with *Managing Assessment of University Appointments: Sanctions and Export Control Compliance*. Assessment of HDR applicants from a sanctioned country is undertaken in accordance with the *Procedure for Managing Assessment of HDR Applicants: Sanctions and Export Control Compliance* and with the companion form *Sanctions Compliance Risk Assessment Form (SCRAF); Higher Degree by Research Policy.*

3.10.2 Export Trade Controls

The University *Export Trade Controls* online material provides an overview of Australia's export trade controls legislation which is in place to reduce the risk of Australian research getting into the wrong hands. The export trade controls legislation regulates the transfer from Australia to a place outside Australia of DSGL items and technology. Export Trade Controls include dual-use items and technology. There are some exemptions available most notably for information already in the public domain and for basic scientific research. The export of defence and dual-use goods is restricted under the *Customs Act 1901*, the *Customs (Prohibited Exports) Regulation 13E 1958*, the *Weapons of Mass Destruction (Prevention and Proliferation) Act 1995* and the supply of defence and dual-use technology is restricted under the *Defence Trade Controls Act 2012*. Definitions are provided on the *Export Trade Controls* website. Australia's Autonomous Sanctions (Section 16.1) are intrinsically linked to the DSGL and these export trade controls laws.

3.11 Publication, authorship, and peer-review

Publication of research delivers benefits to peers, the academic community, research funding agencies, industry, government, and the public. The *Australian Code* guidelines on the *Publication and Dissemination of Research* and the Griffith University *Academic Freedom and Freedom of Speech Policy* outline important principles that underpin the publication and dissemination of research outcomes. According to the *Australian Code*, institutions have responsibilities to promote research

publication, support open communication, protect IP and confidential information, consider the consequences of disseminating research, and provide training for researchers. It is the responsibility of researchers to produce high quality, well conducted research and disseminate its findings widely using appropriate, well recognised academic outlets; ensure accuracy, disclose any COIs, cite and acknowledge relevant previous work, foster transparency, and engage in training that promotes research excellence. Many of these topics are outlined in other parts of this document.

The University strives to undertake research that meets scholarly standards of rigour and ethics and supports the right of our researchers to disseminate the outcomes of such research in line with the *Academic Freedom and Freedom of Speech Policy*. The *Open Research* website outlines the University's commitment to the practice of open research and provides researchers with access to resources that support the development of open research.

Griffith strongly encourages researchers to make their research outputs available via GRO when they are published following funder requirements, publishers guidelines and any legal obligation on the part of the author or the University. Researchers must comply with Open Access requirements and policies included in contracts and agreements. It is now common practice for funders to require statements of rights retention and commitments to Creative Commons licencing, Griffith recommends researchers to retain the copyright of their publication instead of transferring the copyright to the publisher. When the publisher owns the copyright, authors are encouraged to ask the publisher rights to distribution and reuse under a Creative Commons licence.

Publication of research also involves matters related to authorship, peer review and copyright. The *Australian Code* is supported by *Authorship* and *Peer Review* guides, which outline the responsibilities of institutions and researchers. Importantly, researchers must ensure appropriate and fair attribution of authorship, formalised authorship agreements and acknowledge contributions other than authorship in accordance with the *Research Authorship Procedure.*

Researchers must comply with but also have protections under copyright law. The *Copyright Matters* website provides access to resources and support for researchers and identifies important considerations in the authorship and dissemination of research outputs.

3.12 Research with Aboriginal and Torres Strait Islander People and Communities

Griffith University strives to be a place where Aboriginal and Torres Strait Islander Peoples are valued and respected, and where First Australian Peoples' cultures and knowledge form an integral part of our vision for learning, teaching, research and community engagement. *The Griffith University Elders and First Peoples Knowledge Holders Advisory Board* provides strategic advice and guidance for ongoing engagement and consultative mechanisms with First Peoples communities and partners, and on priorities and strategies for First Peoples teaching and learning, research and engagement. The NHMRC *Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities* guidelines for researchers, human research ethics committees and stakeholders provides a set of principles to ensure research is safe, respectful, responsible, high quality and of benefit to Aboriginal and Torres Strait Islander People and communities.

- *The Biodiscovery Act 2004*
- *Traditional knowledge and biodiscovery (Queensland Code of Practice)*
- *Traditional Knowledge Guidelines*
- *ARC Aboriginal and Torres Strait Islander Researcher and Research Statement*
- *AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research*
- *UN Permanent Forum on Indigenous Issues: Free, Prior and Informed Consent*
- *Aboriginal Knowledge and Intellectual Property Protocol Community Guide*
- *Indigenous Cultural Heritage Duty of Care Fact Sheet*

[Recommended for development by December 2025]

Guide to Research with Aboriginal and Torres Strait Islander Peoples and Communities

(Early guidance available on request from research-ethics@griffith.edu.au)

3.13 Health, safety and wellbeing

The University *Health, Safety and Wellbeing Policy* sets out the University's commitment to the health, safety and wellbeing of all people undertaking activities associated with the University. Researchers must comply with the *Work Health and Safety Act 2011 (Cth)* and *Work Health and Safety Act 2011 (Qld)* as well as the workplace, health, safety and wellbeing policies and procedures of the University and organisational unit in which their research is conducted whether on or off campus. The University *Safety Management System Framework* demonstrates the University's systematic approach to providing a safe and healthy workplace, prevent work-related injury and ill health, and continually improve its occupational health and safety performance. Researchers have responsibilities regarding policies on *sexual assault and harassment, equity, diversity and inclusion, harassment, bullying and discrimination* including reporting incidents. Researchers must be aware of their role and responsibilities under the *Health, Safety and Wellbeing Policy*.

3.14 Risk management

The University *Risk and Resilience Management Policy* is the guiding document in the Enterprise Risk Management Framework and the Resilience Framework. The *Risk and Resilience Management Policy* aims to assist the University in achieving its objectives by appropriately considering threats and opportunities to make informed decisions and mitigate risks including risks in the conduct of research. The *Risk Management Guide* provides an overview of the processes involved in the identification, assessment and management of risks. Researchers must be aware of their role and responsibilities under the *Risk and Resilience Management Policy*.

3.15 Training and development

The University offers researcher education and training programs aimed at developing the capability of researchers. The OR *Researcher Education and Development (RED)* team organises research development workshops (calendar of workshop events), an induction guide for new researchers and an Advancing Your Research Career program for early to mid-career researchers. The Griffith Graduate Research School provides development workshops for *HDR candidates* and *HDR supervisors* and mandatory orientation training for HDR candidates. The *Research Ethics and Integrity* team and *Griffith Enterprise* run specific training for researchers and HDR candidates in areas associated with human ethics, animal ethics, research integrity, research funding, IP, translation, and commercialisation. The University *Research Impact Hub* provides resources critical for researcher development to understand and embed a culture of research impact in their research programs. Academic Groups, Research Centres and Institutes provide resources and programs aimed at developing the capability of researchers. *The Library* offers guidance and training on bibliometrics, publishing strategies and other publishing services to both staff and students.

3.16 Higher Degree by Research

The principles and responsibilities of the University in offering higher degrees by research (HDR) are set out in the *Higher Degree by Research Policy.* The HDR Policy is supported by procedures that set out the processes and requirements for HDR admission, scholarship award, supervision, enrolment, and changes to candidature, academic progress, and thesis examination. As early career researchers, HDR candidates must act in a manner consistent with the *Australian Code* in their research work and are subject to the University's policies and procedures that support compliance with the *Australian Code*.

HDR supervisors are responsible for overseeing the research of those they supervise and have a responsibility to ensure that HDR candidates are familiar with and conduct their research in accordance with relevant University policies and procedures. The University's Code of Practice for the

Supervision of HDR Candidates outlines the responsibilities of supervisors (as well as HDR candidates) in the conduct and management of HDR candidature.

The *Australian Code* guidelines on *Supervision* supports the Code by setting out the responsibilities of institutions, research supervisors, and research trainees (including HDR candidates and early career researchers under supervision) to promote and enact the responsible conduct of research.

3.17 Complaints, grievances and breaches

Griffith University is committed to an inclusive and equitable study and work environment and has established policies and procedures to support students and staff to resolve complaints. All complaints, grievances, disputes, and breaches are taken seriously and will be responded to in a timely manner.

The *University Code of Conduct* and the *Responsible Conduct of Research Policy* provide guidance to researchers on the standards of behaviour expected by the University. Complaints, grievances and breaches vary widely in their nature, impact and resolution. This section focuses on complaints, grievances and breaches in relation to research matters. A complaint about bullying or harassment may occur in a research setting, for example, but the matter may be handled under the *Staff Harassment, Bullying and Inclusion Policy*. The University *Complaints and Grievances* website outlines where and how to raise complaints, grievances and breaches. The way such matters are responded to and resolved may follow different processes according to the particular policy context and the nature of the complaint. The *Individual Grievance Resolution Procedure* provides a summary of the procedures that are designed for the resolution of grievances about decisions or actions that adversely affect staff members.

The *Guide to Managing and Investigating Potential Breaches of the Australian Code* provides a model and detailed guidance to assist research institutions to manage, investigate and resolve complaints about research and researchers. Griffith University encourages researchers to self-disclose potential breaches. Breaches regarding the conduct of research at the University are normally managed, investigated and resolved under one of the following research policies and procedures:

- *Research Integrity Breach Investigation Procedure;*
- *Animal research ethics processes for responding to complaints and alleged breaches.*

4.0 Definitions

For the purposes of this policy and related policy documents, the following definitions apply:

The following definitions are from the *Australian Code*:

3Rs: The 3Rs are three principles that underpin a systematic framework to achieve the goal of humane experimental techniques. The principles are: Replacement of animals with other methods; Reduction in the number of animals used; and Refinement of techniques used to minimise the adverse impact on animals.

Affiliate: Academic title-holders, visiting academics, emeritus professors, adjunct and honorary title-holders, industry fellows, and conjoint appointments.

Balance of probabilities: The civil standard of proof, which requires that, on the weight of evidence, it is more probable than not that a breach has occurred.

Breach: A failure to meet the principles and responsibilities of the Code. May refer to a single breach or multiple breaches.

Conflict of interest (COI): A conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests. This refers to a financial or non-financial interest which may be a perceived, potential or actual conflict of interest.

Institution: Includes universities, independent research institutes, hospitals or any other organisation that conducts research. May refer to one or multiple institutions.

Peer review: The impartial and independent assessment of research by others working in the same or a related field.

Research: The concept of research is broad and includes the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

Research misconduct: A breach of the Code which is also intentional or reckless or negligent.

Research training: Formal course of graduate study leading to the acquisition of advanced skills, techniques and knowledge in the conduct of research. Research training also builds towards the production of a contribution to the field of research or creative or professional practice.

Researcher: Any University Staff member, Student, HDR candidate or Affiliate including adjunct appointments, academic title holders, visiting appointments and contractors, whether funded or unfunded. who conducts, or assists with the conduct of research at, or on behalf of, the University.

Staff: Continuing, fixed-term and casual staff members, paid or unpaid by the University.

Student: A person enrolled as a student (non-award, undergraduate, postgraduate and research) at the University or undertaking courses or programs at the University.

5.0 Information

Title	Research Quality Framework
Document number	2025/0000753
Purpose	The Framework is designed to ensure that all staff and students are aware of and understand their ethical, legal and regulatory compliance obligations, conduct and manage research in a manner which is consistent with these obligations and to promote high standards of research integrity.
Audience	Staff Students Public
Category	Academic Governance
Subcategory	Research Staff Risk & Integrity
Approval date	7 February 2025

Effective date	7 February 2025
Review date	2028
Policy advisor	Deputy Director, Research Strategy, Systems and Policy Manager, Research Ethics and Integrity
Approving authority	Deputy Vice Chancellor (Research)

6.0 Related Policy Documents and Supporting Documents

Legislation	AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research
	ARC Aboriginal and Torres Strait Islander Researcher and Research Statement
	Australian Clinical Trials Handbook
	Australian Code for the Care and Use of Animals for Scientific Purposes
	Australian Code for the Responsible Conduct of Research 2018
	Australian Code for the Responsible Conduct of Research 2018 - Collaborative Research
	Australian Code for the Responsible Conduct of Research 2018 - Management of Data and Information in Research
	Autonomous Sanctions Act 2011
	Biodiscovery Act 2004
	Commonwealth Department of Education Higher Education Research Data Collection (HERDC)
	Customs Act 1901
	Customs (Prohibited Exports) Regulation 13E 1958
	Defence and Strategic Goods List (DSGL) 2021
	Defence Trade Controls Act 2012
	Guidelines to Counter Foreign Interference in the Australian University Sector
	Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research 2018
	Griffith University Act 1998
	Information Privacy Act 2009 (Qld)
	Information Privacy Regulation 2009 (Qld)
	ICH Guideline for Good Clinical Practice (Annotated by the TGA)

List of Human Research Ethics Committees registered with NHMRC

National Statement on Ethical Conduct of Human Research 2023

NHMRC Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities

NHMRC Guide on Safety monitoring and reporting in clinical trials involving therapeutic goods

Philanthropy Australia Guidelines

Privacy Act 1988 (Cth)

Privacy Amendment (Enhancing Privacy Protection) Act 2012 (Cth)

Public Sector Ethics Act 1994

Queensland Animal Care and Protection Act 2001

Research Integrity Resource Sheets

Right to Information Act 2009 (Qld)

Right to Information Regulation 2009 (Qld)

Traditional knowledge and biodiscovery (Queensland Code of Practice)

Traditional Knowledge Guidelines

UN Permanent Forum on Indigenous Issues: Free, Prior and Informed Consent

Weapons of Mass Destruction (Prevention of Proliferation) Act 1995

Work Health and Safety Act 2011 (Commonwealth)

Work Health and Safety Act 2011 (Qld)

Policy	Academic Freedom and Freedom of Speech Policy
	Appointment of HDR Examiners and Chairperson Examiners Guidelines
	Cloud Hosting Policy
	Code of Conduct
	Code of Practice for the Supervision of Higher Degree Research Candidates
	Conflict of Interest Policy
	Consultancy and Commercial Research Policy
	Equity, Diversity and Inclusion Policy
	External Research Funding Management Policy
	Fraud and Corruption Control Policy
	Gifts and Benefits Policy
	Guide to the Responsible Conduct of Commercialisation Activities
	Health, Safety and Wellbeing Policy
	Higher Degree by Research Policy

Information Security Policy

Information Technology Code of Practice

Intellectual Property Policy

Personal Relationships in the Workplace Policy

Philanthropy and Fundraising Policy

Private Practice Policy

Public Interest Disclosure Policy

Quality Assurance Policy

Research Entity Policy

Responsible Conduct of Research Policy

Risk and Resilience Management Policy

Staff Harassment, Bullying and Discrimination Policy

Staff Sexual Assault and Sexual Harassment Policy

Student Academic Integrity Policy

Student Conduct, Safety and Wellbeing Policy

Student Complaints Policy

Procedure	Consultancy and Commercial Research Procedure
	Delegations Framework
	Delegations Register
	Dual Award and Jointly Awarded Doctorates Procedure
	External Research Grants Procedure
	Fraud and Corruption Control Procedure
	Griffith University Research Ethics Manual (GUREM)
	Griffith University Strategic Plan
	Guidelines Full Costing of Projects Funded by External Research Grants
	HDR Policy and Procedures: Index of Contents
	Higher Degree by Research Scholarship Procedure
	Higher Degree by Research (HDR) Supervision Procedure
	Individual Grievance Resolution Procedure
	Information Governance and Management Framework
	Managing Assessment of University Appointments: Sanctions and Export Controls Compliance Procedure
	Managing Biosafety and Biosecurity Risk Standard
	Policy Governance Framework
	Privacy Statement

Research and Innovation Plan

Research Authorship Procedure

Research Integrity Breach Investigation Procedure

Safety Management System Framework

Schedule of High Risk Biological Materials monitored by the University Biosafety Committee

Signing Sub-Delegations – Guidelines on recommended consultations before a contract is signed

Student Charter Framework

Local Protocol	Academic Committee Constitution
	Aboriginal Knowledge and Intellectual Property Protocol Community Guide
	Animal research ethics processes for responding to complaints and alleged breaches
	Declaration of Interest Submission
	Indigenous Cultural Heritage Duty of Care Fact Sheet
	Risk Management Guide
	Sanctions Compliance Risk Assessment Form (SCRAF); Higher Degree by Research