

Responsible Conduct of Research

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1.0 Purpose

This Policy outlines the requirement for all research at Griffith University to be conducted in adherence with the *Australian Code for the Responsible Conduct of Research, 2018 (the 2018 Code)*. This Policy also ensures that the University meets the requirements of the following *Domains and/or Standards within the Higher Education Standards Framework (Threshold Standards) 2021 (HESF 2021)*:

- Domain 4 – Research and research training
- Domain 5 – Institutional quality assurance

2.0 Scope

This Griffith University *Responsible Conduct of Research Policy* applies to any person or organisation conducting research under the auspices of Griffith University (see Section 3.3), including staff members, students, adjunct appointments, academic title holders, visiting appointments and contractors.

3.0 Policy statement

Griffith University adheres to and supports the principles of responsible research conduct described in the 2018 Code and complies with the Responsibilities of Institutions described in the 2018 Code.

Griffith University researchers must comply with the Responsibilities of researchers described in the 2018 Code.

The Griffith *Research Quality Framework* summarises the Policies, Procedures, Legislation and Regulations of relevance for enactment of the principles of Responsible Research Conduct articulated in the 2018 Code.

3.1 Principles of Responsible Research Conduct

The principles (P1–P8) articulated in the 2018 Code that are the hallmarks of responsible research conduct are:

- **Principle 1: Honesty in the development, undertaking and reporting of research**
 - Present information truthfully and accurately in proposing, conducting and reporting research.
- **Principle 2: Rigour in the development, undertaking and reporting of research**
 - Underpin research by attention to detail and robust methodology, avoiding or acknowledging biases.
- **Principle 3: 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.
- **Principle 4: 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.
- **Principle 5: 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.
- **Principle 6: 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.
- **Principle 7: 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.
- **Principle 8: Promotion of responsible research practices**
 - Promote and foster a research culture and environment that supports the responsible conduct of research.

Further, in adherence with Principles 5, 7 and 8:

- Where the research involves human participants, the investigators must obtain appropriate human ethics approval or an exemption notification from the Human Research Ethics Committee before proceeding with research.
- Where the research involves the use animals, written approval or an exemption notification must be obtained from the Animal Ethics Committee before proceeding with research.

3.2 Meaning of Research in the context of this Policy

The 2018 Code definition of research has been used for the purposes of this Policy:

“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.”

Griffith University research may include:

- new findings or data which are likely to be published or reported in academic outputs e.g. journal articles, conference proceedings, book chapters;
- professional practices in the visual and performing arts;
- consultancies with research components.

3.3 Meaning of ‘under the auspices of Griffith University

Research under the auspices of Griffith University has a very broad scope. Without limiting its meaning, it includes both funded and unfunded research, research that does or does not require ethical clearance, and research that occurs on or off Griffith campuses.

If any of the questions below are answered in the affirmative a researcher should be considered to be conducting work under the auspices of Griffith University, so is subject to the standards and responsibilities described in this document:

- Are there any Griffith staff members, students, adjuncts, academic title holders, or visiting appointments involved in the research?
- Will the research activity/output be claimed for internal/external purposes through or in association with Griffith University?
- Will the work be identified (e.g. to potential participants, sites and in any output) as being Griffith University research?
- Are there any contracts/agreements associated with the work that will describe it as being under the auspices of Griffith University?
- Are there any invoices or other payments associated with the work that will describe it as being under the auspices of Griffith University?
- Will the work be covered by Griffith University’s insurance/indemnity?

3.4 Observance of The Code

Researchers and support staff must familiarise themselves with the Australian Code for the Responsible Conduct of Research (2018) and complete research integrity training. The Office for Research maintains an online *Research Integrity Foundations course*, the *Research Integrity webpage* and supporting *Research Integrity Resource Sheets*.

3.5 Cross-Institutional research

When collaborating in cross-institutional research, Griffith University researchers must adhere to the *NHMRC/ARC/UA Collaborative Research Guide* and the *AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research*. Further guidance on such research is provided in resource material produced by the Office for Research.

The *Research Entity Policy* and the *Consultancy and Commercial Research Policy* apply where there are research collaborations with external entities including government, industry, and not-for-profit sector.

Griffith University requires that research collaborations with international parties are assessed and approved in advance of commencement, in accordance with guidance provided on the *Secure Engagement with International Parties Hub*.

3.6 Research Integrity Advisors

The University has appointed a network of experienced researchers to act as Research Integrity Advisors. The primary role of the Research Integrity Advisors is to be a source of collegiate advice on research integrity matters.

Guidelines about the appointment process, role and responsibilities of Research Integrity Advisors will be maintained by the Office for Research on the Research Integrity Advisors website.

3.7 Breaches of The Australian Code

Any alleged breach of 2018 Code or research integrity complaint will be considered in line with the *Griffith University Research Integrity Breach Investigation Procedure*. This procedure has been developed in alignment with the *NHMRC/ARC/UA Guide to Managing and Investing Potential Breaches of Australian Code for the Responsible Conduct of Research, 2018*.

4.0 Roles, responsibilities, and delegations

ROLE	RESPONSIBILITY
All staff	Researchers and support staff must familiarise themselves with the Australian Code for the Responsible Conduct of Research (2018) and the research integrity resources produced by the University (e.g. online Research Integrity training and the Research Integrity page maintained by the Office for Research).
Researchers	Researchers must ensure that their research and conduct in research meets the standards defined by the Australian Code for the Responsible Conduct of Research (2018), and that they meet the researcher responsibilities articulated in the 2018 Code.
Supervisors	Supervisors of junior researchers and HDR candidates are responsible for providing guidance and mentorship on responsible research conduct to research trainees under their supervision. Supervisors of higher degree by research (HDR) candidates will also undertake their responsibilities in accordance with the Higher Degree by Research Supervision Procedure and the Code of Practice for the Supervision of HDR Candidates.
Deans Research	Dean Research will promote responsible research practice in the Groups, and play a critical role in awareness and education, with the aim of improving overall research quality and minimising risks and potential for complaints.
Senior Research leaders	Senior Research leaders will promote responsible research practice in their areas.

Research Integrity Advisors	The primary role of Research Integrity Advisors (RIAs) is to provide informal advice to the Griffith research community on research integrity matters.
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Deputy Vice Chancellor Research	The Deputy Vice Chancellor Research is responsible for receiving reports of the outcomes of assessments/investigations of breaches of the Australian Code and determining appropriate actions.
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5.0 Definitions

Breach. A failure to meet the principles and responsibilities of the 2018 Code. May refer to a single breach or multiple breaches.

Staff. Continuing, fixed-term, research (contingent funded) and casual staff members.

Student. Enrolled students and Higher Degree by Research (HDR) candidates at the University with Active Enrolment Status, including those who are not ‘carrying load’ and students on approved leave, including leave of absence, deferment or between enrolment periods.

Research Integrity Advisors. Griffith University researchers who have considerable knowledge of the responsible conduct of research and are appointed to provide informal advice to the Griffith research community on matters relating to potential breaches of the Australian Code for the Responsible Conduct of Research, 2018.

Researcher. Any University Staff member, Student or Affiliate who conducts or assists with the conduct of research at, or on behalf of, the University.

6.0 Information

Title	Responsible Conduct of Research Policy
Document number	2024/0000016
Purpose	This Policy outlines the requirement for all research at Griffith University to be conducted in adherence with the Australian Code for the Responsible Conduct of Research 2018.
Audience	Staff
Category	Academic
Subcategory	Research Staff Risk & Integrity

UN Sustainable Development Goals (SDGs)	This document aligns with Sustainable Development Goal/s: 16: Peace, Justice and Strong Institutions
Approval date	21 March 2024
Effective date	21 March 2024
Review date	2029
Policy advisor	Manager, Research Ethics and Integrity
Approving authority	Research Committee and Academic Committee

7.0 Related Policy Documents and Supporting Documents

Legislation	<p>Australian Code for the Responsible Conduct of Research 2018</p> <p>National Statement on Ethical Conduct in Human Research 2023</p> <p>Australian Code for the Care and Use of Animals for Scientific Purposes 8th edition 2013</p> <p>Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities</p> <p>AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research</p> <p>NHMRC/ARC/UA Guide to Managing and Investigating potential breaches of the Australian Code for the Responsible Conduct of Research, 2018</p> <p>NHMRC/ARC/UA Collaborative Research Guide</p> <p>Animal Care and Protection Act (Qld) 2001</p> <p>The Privacy Act 1988</p> <p>Privacy Amendment (Enhancing Privacy Protection) Act 2012</p> <p>Information Privacy Act (Qld) 2009</p> <p>Public Records Act (Qld) 2023</p> <p>Workplace Health and Safety Act (Qld) 1995</p>
Policy	<p>Research Quality Framework</p> <p>Private Practice Policy</p> <p>Consultancy and Commercial Research Policy</p>

Conflict of Interest Policy
Health, Safety and Wellbeing Policy
Intellectual Property Policy
Research Entity Policy
Consultancy and Commercial Research Policy
Student Academic Integrity Policy
Risk and Resilience Management Policy
Higher Degree by Research Policy

Procedure

Research Integrity Breach Investigation Procedure
Retention Periods for Research Data and Primary Materials Schedule
University Sector Retention and Disposal Schedule
Higher Degree by Research (HDR) Supervision Procedure
Dissertation Management Procedure

Local Protocol

Griffith University Research Ethics Manual
Research Integrity webpage
Animal Ethics Committee webpage
Secure Engagement with International Parties Hub
Research Integrity Advisors webpage
Equivalence to a Doctoral Qualification: HDR Supervisor Registration
Code of Practice for the Supervision of Higher Degree Research
Candidates
