



## Responsible Conduct of Research Procedures

### 1. LEGISLATION/ENTERPRISE AGREEMENT/POLICY SUPPORTED

[Responsible Conduct of Research Policy](#)

*Academic, Professional and General Staff Enterprise Agreement 2012-2016*

*The Australian Code for the Responsible Conduct of Research*

### 2. IMPLEMENTATION PRINCIPLES

- 2.1. Establishing a responsible research environment is the most effective way of preventing research misconduct and breaches of the Australian Code for the Responsible Conduct of Research (**The Code**) and/or University research related policies.
- 2.2. Anyone who forms a reasonable suspicion that research misconduct has occurred will act in a timely manner in accordance with these procedures.

### 3. PROCEDURAL DETAILS

These procedures are based on the procedures outlined in the Academic, Professional and General Staff Enterprise Agreement 2012-2016 (**Enterprise Agreement**) and The Code. Both the Enterprise Agreement and The Code should be read in conjunction with this document.

#### 3.1. Concerns about research misconduct

- 3.1.1. If a staff member has a concern about the conduct of research, wherever possible they will discuss their concern with their line manager.
- 3.1.2. If the staff member believes that a conflict of interest may exist for the line manager then the first point of contact will be a Research Integrity Adviser.

#### 3.2. Lodging a complaint of research misconduct

- 3.2.1. Complaints about research misconduct will be lodged in accordance with the Complaints Procedure.

#### 3.3. Managing complaints of research misconduct

- 3.3.1. Complaints about research misconduct will be processed and investigated, in accordance with the Complaints Procedure, the process described in the Enterprise Agreement and The Code.

#### 3.4. Resolution of the Enterprise Agreement and The Code

- 3.4.1. In addition to the process described in the Enterprise Agreement for dealing with complaints the following additional steps will be employed for dealing with research misconduct allegations:
  - a. If a complaint has been escalated to the executive manager level, the executive manager, on forming the view that the matter warrants formal investigation as research misconduct, will advise the designated person.
  - b. A preliminary enquiry as described in the Enterprise Agreement, which also satisfies the requirements of a preliminary assessment under The Code, may be undertaken to determine if a *prima facie* case of research misconduct exists.
  - c. Where a *prima facie* case of research misconduct exists the designated person will inform the CEO or their delegated officer.
  - d. Following a letter of allegations being put to the staff member and their response, the matter may be investigated further as described in the Enterprise Agreement. This investigation process may satisfy the investigation requirements of the Code and Enterprise Agreement.
  - e. The inquiry report will be submitted to the CEO or their delegated officer.

#### 3.5. Reporting research misconduct to external parties

- 3.5.1. Where applicable, the Manager of Research Integrity will report to regulatory bodies and other agencies, including but not limited to the National Health and Medical

Research Council, The Australian Research Council and the US Office of Research Integrity, in accordance with their policies.

### 3.6. Sanctions and penalties

- 3.6.1. Penalties or sanctions for findings of misconduct, including research misconduct, will be in accordance with the Enterprise Agreement.
- 3.6.2. Further appropriate actions may be undertaken by the University to correct the research record and inform relevant parties of any outcomes pertaining to the complaint.

## 4. RESPONSIBILITIES

In addition to any responsibilities set out in section 3.

### 4.1. RESEARCH INTEGRITY ADVISER

- 4.1.1. Advise on process those making, or considering making, allegations.

## 5. SCOPE OF PROCEDURES

These procedures apply to current Staff members.

These procedures do not apply to misconduct by students (refer to Statue 10).

## 6. DEFINITIONS

(Note: Commonly defined terms are located in the [Curtin Common Definitions](#). Any defined terms below are specific to this document)

### Chief Executive Officer (CEO)

The CEO for the University is the Vice-Chancellor. The role of the CEO may be delegated to a Delegated Officer.

### Designated Person

The Designated Person is a senior member of the institution's management structure who is experienced in research and research management. At the University this is the Deputy Vice-Chancellor Research.

## 7. RELATED DOCUMENTS/LINKS/FORMS

[Complaints Procedure](#)

[Responsible Conduct of Research Policy](#)

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

[Academic, Professional and General Staff Enterprise Agreement 2012-2016](#)

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<b>Approval Authority</b>	Deputy Vice-Chancellor, Research
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## REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	25/07/2016	Deputy Vice-Chancellor, Research	EM1630	Unconditional