Research Conduct and Governance Policy

Section 1 - Purpose

(1) The University of Canberra (the University) is committed to undertaking high quality research with outcomes that have a positive impact on people and place.

(2) The University is committed to conducting research in a manner that is consistent with the principles of responsible conduct of research specified in the Australian Code for the Responsible Conduct of Research 2018 (the Code).

(3) The purpose of this Policy is to provide a framework for governance, practices, standards and accountabilities for all research and research training that is conducted at the University, including but not limited to those listed under Associated Information.

Section 2 - Scope

(4) This Policy applies to:

a. all University of Canberra researchers; and
b. all stages of the research process, including proposing, conducting and reporting on research.

(5) This policy does not apply to postgraduate coursework or undergraduate students undertaking research as part of their program, including Honours. Research conduct matters for these students are a matter for student conduct policies and procedures.

Section 3 - Principles

Part A - Research conduct policy statement

(6) The research undertaken at University is underpinned by the principles and responsibilities outlined in the Australian Code for the Responsible Conduct of Research 2018 (the Code). The Code states the principles that are the hallmarks of responsible research conduct:

	PRINCIPLE	DESCRIPTION
1	HONESTY in the development, undertaking and reporting of research	• Present information truthfully and accurately in proposing, conducting and reporting research.
2	RIGOUR in the development, undertaking and reporting of research	• Underpin research by attention to detail and robust methodology, avoiding or acknowledging biases.
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	DESCRIPTION
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.
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.
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.
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.
8	PROMOTION of responsible research practices	• Promote and foster a research culture and environment that supports the responsible conduct of research.

(7) All research undertaken by University of Canberra researchers must comply fully with other key documents in Australia's research integrity framework, particularly:

a. National Statement on Ethical Conduct in Human Research 2023 (the National Statement)
b. AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research (the AIATSIS Code)
c. Australian Code for the Care and Use of Animals for Scientific Purposes, 2013 (the Animal Code)

(8) The conduct of the University's research is also guided by the requirements of legislation, particularly the Higher Education Standards Framework (Threshold Standards) 2021.

Part B - Research governance and responsibilities

Research governance and management framework

(9) The University has a system of committees and individual delegations that provides the framework through which research and related activities are governed and managed. This system provides for lines of authorisation and accountability.

(10) The governance structure for research flows from the University Council to Academic Board and through to the University Research Committee (URC), and sub-committees of URC, including the Graduate Research Committee.

(11) The management structure flows from the Vice-Chancellor through to the Deputy Vice-Chancellor (DVC) to direct reports including the Dean, Graduate Research School, and from the Deputy Vice-Chancellor (DVC) to the Executive Deans of Faculties. Research support services are provided through the Research and Enterprise portfolio, and within Faculties and Research Centres and Institutes. This management structure provides the framework through which activities such as applications for research funding and research contracts, and the supervision and training of postgraduate research students is managed.

(12) Research Ethics applications that require ethical approval are reviewed and approved by the University's Human Research Ethics Committee (HREC) or the Animal Ethics Committee (AEC) as appropriate.

Key responsibilities

(13) The Australian Code for the Responsible Conduct of Research 2018 provides clear responsibilities for institutions and individual researchers, summarised below.

ENTITY	RESPONSIBILITIES
University of Canberra	Responsible research conduct is fostered and underpinned by the research culture of the institution. Institutions have an obligation to encourage and support responsible research conduct. They are accountable to funding organisations and the Australian community for how research is conducted.
Individual Researcher	Researchers will uphold the principles of responsible research conduct in all aspects of their research.
Committees	Within the University, the terms of reference or charters of Boards and Committees provide the basis for their responsibilities.
University Council	The governing body of the University is the Council as set out in the University of Canberra Act 1989. Council creates the basis for management excellence by developing the University's mission statement and setting the strategic direction, as well as approving the annual budget. It is responsible for ensuring the systems and processes to direct and control the University's operations are in place and working effectively. In addition, Council fosters a culture which allows the University to deliver to all its stakeholders outcomes in line with its mission and strategic goals.
Academic Board	The Academic Board is the principal policy-making and advisory body on academic matters relating to and affecting the University's teaching, research and educational programs.
University Research Committee (URC)	The purpose of the URC is to advise the Academic Board and the Vice-Chancellor on research objectives and strategies, the University's research performance, research and research training policy and practice and research degree programs. Subcommittees of the URC are: • Human Research Ethics Committee (HREC) - established by the University to comply with the National Health and Medical Research Council's (NHMRC) National Statement on Ethical Conduct in Human Research. • Animal Ethics Committee (AEC) - established by the University to comply with the NHMRC's Australian Code for the Care and Use of Animals for Scientific Purposes. • Graduate Research Committee (GRC) - established to advise the Graduate Research School, the URC and the DVC on research training issues.

Part C - Research policies and procedures

Research integrity

Key documents guiding conduct of research in Australia

(14) The conduct of research at the University is underpinned by the Code. All researchers must familiarise themselves with the Code and conduct their research in accordance with its principles. This includes those who lead research and/or supervise research projects of students in coursework or higher degree by research courses.

(15) Advice is available from a Research Integrity Advisor or Research Services if there is uncertainty about obligations under the Code.

(16) All researchers must understand the requirements of the relevant national guidance appropriate to their research. This may include, but is not limited to:

a. National Statement on Ethical Conduct in Human Research (2007)
b. The National Statement on Ethical Conduct in Human Research (2023) — Effective 1 January 2024
c. AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research (the AIATSIS Code)

d. Ethical Conduct in Research with Aboriginal and Torres Strait Islander Peoples and Communities - Guidelines for Researchers and Stakeholders
e. Australian Code for the Care and Use of Animals for Scientific Purposes
f. Privacy Act 1988, Section 14, Schedule 1 - Australian Privacy Principles

(17) All researchers also have a responsibility to ensure that research is conducted in accordance with relevant Federal, State and Territory legislation and regulations.

Promoting a positive research culture

(18) All staff have a responsibility to ensure and maintain a positive research culture. Staff in research leadership positions, including Executive Deans; Associate Deans, Research (ADR); Directors, Research Institutes; and Directors, Research Centres are expected to show leadership in establishing and maintaining high standards for the conduct of research.

(19) Researchers supervising higher degree by research candidates have an important role in modelling and supporting responsible research conduct for their higher-degree by research candidates.

(20) The University, through the DVC will ensure that research staff and students receive information and training on responsible research conduct.

Breaches of the Code

(21) Possible breaches of the Code, National Statement, AIATISIS Code, or Animal Code will be addressed in accordance with The University's Research Conduct Complaints Procedure.

(22) All researchers have a responsibility to report where a breach of the Code or research misconduct may have occurred. Any person who observes or suspects that a breach of the Code or research misconduct has occurred must raise an allegation or seek advice from a Research Integrity Advisor or Research Services.

(23) The University recognises that the objectives and design for postgraduate research candidates are part of a learning experience and need to be assessed in that light.

(24) The Research Conduct Complaints Procedure provides the detailed requirements for investigating, recording and reporting allegations and cases of research misconduct.

Research quality and practice

(25) All research must be carried out in a manner that ensures the highest quality of ethical, scientific and scholarly outcomes. Internal and external peer review are the traditional means of objectively assessing whether the design of a study is optimal and all researchers are expected to follow the University's Peer Review of Research Policy.

(26) All research is to be carefully managed to ensure that it is delivered safely, effectively and in a cost-effective manner.

(27) The Australian Institute of Aboriginal and Torres Strait Island Studies (AIATSIS) promotes ethical and responsible practice in Aboriginal and Torres Strait Islander research in Australia. The University strongly supports the advice in the AIATSIS Code and its accompanying Guide to Applying the AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research.

(28) All researchers should consult the Guides that accompany the Code. These Guides are available on the NHMRC website and cover the following topics:

a. Authorship

b. Management of data and information in research
c. Peer review
d. Disclosure of interests and management of conflicts of interest
e. Supervision
f. Collaborative research
g. Publication and dissemination of research
h. Research Integrity Advisors Guide.

Higher degree by research (HDR) training

(29) The University will provide a high-quality research training environment for all candidates enrolled in postgraduate research degrees.

(30) A suite of policies provides the policy framework for matters related to higher degree by research. This suite includes, but is not limited to, the following policies and procedures:

a. Higher Degree by Research Admission Policy
b. Higher Degree by Research Admission Procedure
c. Higher Degree by Research Enrolment and Changes to Candidature Policy
d. Higher Degree by Research Examination Outcomes Procedure
e. Higher Degree by Research Graduate Attributes Policy
f. Higher Degree by Research Progress and Milestones Policy
g. Higher Degree by Research Progress and Milestones Procedure
h. Higher Degree by Research Scholarship and Australian Government Research Training Program Scholarship Policy
i. Establishment of Faculty Managed Higher Degree by Research Stipend Scholarships Procedures
j. Higher Degree by Research Scholarship Application and Assessment Procedures
k. Examination of Higher Degree by Research Theses Policy
l. Higher Degree by Research Supervision Policy
m. Higher Degree by Research Supervision Procedure
n. Infrastructure Support for Higher Degree by Research Candidates Policy.

Ethical review

Human research

(31) Research involving humans is defined as 'research conducted with or about people, or their data or tissue'. All human research must be reviewed and approved by the University of Canberra Human Research Ethics Committee (HREC).

(32) All researchers conducting research involving humans must meet the requirements in the National Statement on Ethical Conduct in Human Research 2023 in designing their projects and in their submissions to the HREC.

(33) To minimise the duplication of ethics review as outlined in the National Statement, the HREC accepts external ethics approvals via the cross-institutional submission and approval process through the online ethics application portal.

(34) Researchers must also apply the Human Biospecimen Use for Research and Teaching Policy where applicable.

Research involving animals

(35) The Australian code for the care and use of animals for scientific purposes applies to the care and use of all live non-human vertebrates and cephalopods. All research covered by the Animal Code must be reviewed and approved by the University of Canberra Animal Ethics Committee (AEC) before the research begins.

(36) All researchers conducting research involving animals must meet the requirements in the Australian code for the care and use of animals for scientific purposes in designing their projects and in their submission to the AEC.

Biosafety and Biosecurity

(37) The Institutional Biosafety and Radiation Committee (IBRC) for the University of Canberra was established to fulfil the role as required by the Gene Technology Regulations 2001 and to ensure ionising and non-ionising radiation safety across the University in accordance with the Radiation Protection Act 2006 and the Radiation Protection Regulation 2007.

(38) Before commencing any research project involving genetically-modified organisms (GMOs) and/or ionising and non-ionising radiation, staff and students at the University are required to submit an application to the University's IBRC. Before commencing the project, staff and students must have received written confirmation of the IBRC approval.

Partnerships, commercialisation and intellectual property

(39) The University of Canberra is committed to knowledge transfer and the benefits of university research being readily available to society. Knowledge transfer can occur through several mechanisms including research partnerships and commercialisation. To achieve these aims, the University has in place an Intellectual Property Policy that outlines the protocols, processes and procedures involved in accessing the University's intellectual property development through research activities.

Accountability and transparency

Research reporting

(40) The University expects researchers to disseminate their work widely, so the research conducted has a positive impact on people and/or place. Dissemination of research findings is an important part of the research process and passes on the benefits of the research to other researchers, professional practitioners, and the wider community.

Open access

(41) The University expects researchers to prioritise open access channels of dissemination, and ensure compliance with any funder's open access policies. Researchers are encouraged to use the University's 'read and publish' agreements, supported by the University by prioritising acquiring and providing access to resources with open access licencing, as outlined in the principles of the Library Collections and Access Policy.

(42) Researchers are cautioned to avoid predatory publishers.

(43) Researchers have a responsibility to disseminate a full and accurate account of their research as broadly as possible, including negative findings and results contrary to hypotheses. Researchers also have an obligation to people who have participated in their research to make findings available to those research participants.

(44) Researchers must ensure that the use of the work of others is appropriately acknowledged and cited. The University is committed to promoting an environment of honesty, integrity, accuracy and responsibility in the dissemination of research findings.

(45) It is essential that all parties responsible for bringing about a piece of research are duly acknowledged for their contribution in any publications or reports to emanate from the research. The Code states that an author of a research output must have 'made a significant intellectual or scholarly contribution to the research and its output' and 'agree to be named as an author'.

(46) Researchers must follow the University's Authorship, Publication and Dissemination of Research Policy, which covers a variety of approaches to publication and dissemination, including academic journals and books, non-refereed avenues such as webpages, other media such as exhibitions or films, as well as professional and institutional repositories.

Data management

(47) It is the responsibility of the researcher to take reasonable steps to ensure the management, storage, retention and disposal of research data throughout and after the completion of a research project for the mandated retention periods.

(48) The University will make reasonable efforts to provide facilities and processes for the storage and management of research data, primary materials and information that are safe and secure, can adequately record the research data throughout its lifecycle, and can adequately record the research metadata to enable access to the stored data.

(49) Researchers must comply with the University's Management of Research Data, Primary Materials and Information Policy as well as all other relevant policies and applicable legislation including but not limited to:

a. Defence Trade Controls Act 2012 (Cth)
b. Foreign Influence Transparency Scheme Act 2018 (Cth)
c. Freedom of Information Act 2016(ACT)
d. Information Privacy Act 2014 (ACT)
e. Privacy Act 1988 (Cth)
f. Territory Records Act 2002 (ACT).

Consulting

(50) University staff or affiliates may provide a range of expert services, including research services, to external organisations for a fee (referred to as consultancies).

(51) The University supports the principle that participation in consultancies brings many benefits to the University, including:

a. opportunities for partnerships in research and other activities
b. greater likelihood of the realisation of impact through engagement with external parties
c. the dissemination of knowledge; enhancement of staff skills and expertise
d. advancement of the University's reputation and that of its staff and affiliates
e. generation of income for the University.

(52) All staff and affiliates of the University undertaking consultancy work on behalf of the University are required to comply with the Consultancy Management Procedure. The Outside or Additional Work Policy applies for consultancy work undertaken independently of the University.

Risk management

Research agreements and contracts

(53) The University expects researchers to collaborate on research projects and activities with external parties. If a research project with external parties is funded or involves other forms of institutional commitment, ethical or other risks including potential intellectual property and data sharing, then it should be managed through an appropriate agreement or contract. In all such cases, researchers must consult with Research Services.

(54) Researchers and research managers must ensure that the relevant policies for research grant management are adhered to. These include:

a. Indirect Cost Recovery Procedure
b. Interest on Research Grants Policy
c. Research Cost Centre Management Policy.

National security

(55) The University and individual researchers have a range of obligations and responsibilities through Commonwealth Government legislation and guidelines in relation to international activities.

(56) These include, but are not limited to:

a. Australia's Foreign Relations (State and Territory Arrangements) Act 2020 (Foreign Arrangements Scheme)
b. Foreign Influence Transparency Scheme Act 2018 (Foreign Influence Transparency Scheme)
c. Defence Trade Controls Act 2012 (Defence Export Controls Framework)
d. Guidelines to Counter Foreign Interference in the Australian University Sector
e. Autonomous Sanctions Act 2011 and the Charter of the United Nations Act 1945 (UN Security Council sanctions regimes, and Australian autonomous sanctions)
f. Security of Critical Infrastructure Act 2018.

(57) Legal, in the Legal provides advice on legislative compliance.

(58) The Australian Research Council (ARC) require assurances regarding foreign interference risk management in their applications and may undertake assessments or invite national security agencies to review and advise on individual grant applications.

Section 4 - Responsibilities

(59) As set out in Clause 13.

Section 5 - Definitions

Terms	Definitions
Affiliates	Those people given Emeritus/Emerita and Honorary (including Adjunct, Professional Associate and Visitor) appointments in accordance with the relevant University policies and procedures.
Breach	A failure to meet the principles and responsibilities of this Policy. May refer to a single breach or multiple breaches.
Conflict of interest	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

Terms	Definitions
HDR Student	A person who is enrolled in a University of Canberra Higher Degree by Research (Master by Research, professional doctorate, or PhD) degree. Does not include Master by coursework, Honours, or undergraduate coursework students.
Peer review	The impartial and independent assessment of research by others working in the same or a related field
Higher degree by research course	A structured sequence of learning that includes a major research component, and is one of the following Australian Qualifications Framework qualification types that is approved by Academic Board: • masters degree (research) • doctoral degree (professional) • doctoral degree (research).
Predatory Publisher	"Predatory journals and publishers are entities that prioritize self-interest at the expense of scholarship and are characterized by false or misleading information, deviation from best editorial and publication practices, a lack of transparency, and/or the use of aggressive and indiscriminate solicitation practices." (Grudniewicz et al., 2019)
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.
Researcher	Staff, students and affiliates who undertake research for the University Person (or persons) who conducts, or assists with the conduct of, research.
Research misconduct	A serious breach of the Code which is also intentional or reckless or negligent
Research Training	'Research training' is a 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
Staff	A person who is a member of the staff of the University, whether full-time, part-time, contract, sessional or casual and includes all academic, professional, technical and administrative officers and employees.

Status and Details

Status	Historic
Effective Date	10th October 2024
Review Date	10th October 2029
Approval Authority	Deputy Vice-Chancellor, Research and Enterprise
Approval Date	8th May 2024
Expiry Date	13th August 2025
Custodian	Michelle Lincoln Deputy Vice-Chancellor
Responsible Manager	Faraz Hasan Director, Research Services Faraz.Hasan@canberra.edu.au
Author	Nick Markesinis Policy Specialist
Enquiries Contact	Nick Markesinis Policy Manager --- Policy