

Responsible Conduct of Research Policy

INTRODUCTION

The University provides a research environment that supports high standards of research excellence, research integrity and professional conduct. The University requires responsible communication and reporting of research that is practiced ethically, competently, safely and accountably while demonstrating respect for the wider community and the environment in accordance with the provisions outlined in the:

- [Australian Code for the Responsible Conduct of Research](#);
- [National Statement on Ethical Conduct in Human Research](#);
- [Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research](#);
- Northern Territory [Animal Welfare Act](#); and
- Commonwealth [Gene Technology Act](#) and [Gene Technology Regulations](#)

STATEMENT OF AUTHORITY

The authority behind this policy is the [Charles Darwin University Act 2003](#) part 3, section 15.

COMPLIANCE

This is a compliance requirement under the [Australian Code for the Responsible Conduct of Research](#).

INTENT

This document sets out the University's expectations for the conduct of all persons engaged in research under the auspices of the University.

RELEVANT DEFINITIONS

In the context of this document

Advisers in Research Integrity and Ethics means experienced Professors appointed by the University to provide advice to staff members on issues relating to responsible research practice and suspected research breaches or misconduct or other code breaches in accordance with the University's Governance documents;

Australian Code for the Responsible Conduct of Research means the code of practice developed by the National Health and Medical Research Council (NHMRC), the Australian Research Council and Universities Australia;

Dual-use technologies means technologies that have a commercial and research purpose, but could also be used for the development or production of military systems such as nuclear, biological or chemical weapons; as listed in the Commonwealth [Defence Trade Controls Act](#), Defence and Strategic Goods List;

Financial benefit means a benefit in the form of remuneration, payment or gift received by a staff member. Financial benefits might also include investments, ownership or directorship of any companies, consultancies, provision of goods or services, receipt of royalties or other considerations;

Financial Involvement means a direct or indirect financial interest, provision of benefits such as travel and accommodation and provision of materials or facilities;

Governance Document means a formally approved document that outlines non-discretionary governing principles and intentions, in order to guide University practice. Governance documents are a formal statement of intent that mandate principles or standards that apply to the University's governance or operations or to the practice and conduct of its staff members and students they include the CDU Act, by-laws, policies, procedures, guidelines, rules, codes and the Enterprise Agreement;

Higher Degree Research (HDR) means research conducted under the University's Common Course Rules for the Doctor of Philosophy (PhD) and Masters by Research (MRes);

Indirect financial interest means a financial interest or benefit derived by the researcher's relatives, personal or business associates, or research students;

Peer review means the assessment of research by experts knowledgeable of the same or a related field;

Principle Investigator means the lead researcher for a particular research project. The Principle Investigator is the person who takes direct responsibility for the conduct and management of a research project. In the case of a student's research project, this will be the primary supervisor;

Related body means any person or body with which the researcher has an affiliation or a financial involvement;

Research means investigation undertaken to gain or advance knowledge, understanding and insight. It does not include routine testing and routine analysis of materials, components and processes or the development of teaching materials or similar work;

Research data and primary research materials means data and other research materials collected, assembled or created in the course of research;

Research data management means all the processes and actions required to manage research materials and datasets using good practice throughout the research life-cycle for current and future research purposes and users;

Researcher means any staff member, person awarded honorary or academic status by the University, student, or person otherwise associated with the University, who conducts research under the auspices of the University or undertakes study or a formal research affiliation with the University;

Research output means a publication, report or creative output of research;

Staff member means anyone engaged by or associated with the University and includes all permanent, casual or contracted employees (whether full-time or part-time), honorary appointees, visitors, volunteers and/or those holding University offices or who are a member of a University committee; and

Student means a person of one of the classes of persons set out in the [Charles Darwin University \(Student of the University\) By-laws](#);

POLICY

General principles of responsible research

The University is committed to sound research governance and management practices, promotion of responsible research conduct, and providing a safe research environment. The University appoints Researchers with the strict expectation that they are personally and professionally responsible for conducting Research in a manner that is fully compliant with disciplinary, institutional and regulatory obligations.

Researchers must:

- Conduct Research ethically and with integrity. Research or other activities requiring ethical oversight involving people or animals must comply with the [National Statement on Ethical Conduct in Human Research](#) and the [Australian Code for the Care and Use of Animals for Scientific Purposes](#). It also includes adherence to the [Australian Code for the Responsible Conduct of Research](#);
- Acknowledge that research with Indigenous Australian peoples spans many methodologies and disciplines and that Indigenous individuals, communities or groups may be differentially involved in, or affected by, research. Special attention should be paid to [Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research](#), [Guidelines for Ethical Research in Australian Indigenous Studies](#) and [Keeping research on track: a guide for Aboriginal and Torres Strait Islander peoples about health research ethics](#);
- Ensure good stewardship of resources and minimise adverse effects of Research on individuals, communities, animals and the environment. This includes observance of responsible consumer and community participation in research practices in accordance with the [Statement on Consumer and Community Participation in Health and Medical Research](#);
- Ensure that research methods, results and outputs are robust, justifiable, conducted with rigour and open to scrutiny and debate;
- Ensure the research is conducted, or overseen, by staff members with qualifications, research experience and skills relevant to the type of research undertaken and their role in the research;
- Communicate research results in a responsible manner and acknowledge the contribution and role of others in research;
- Be aware of and comply with all relevant obligations in project agreements that affect their research projects, including the University's [Code of Conduct](#), [Work Health and Safety Policy](#), [Defence Export Controls Policy](#) as well as the Commonwealth [Defence Trade Controls Act](#) and other relevant Governance documents, workplace agreements and legislation. This includes obtaining, and maintaining requisite authorisation and approval before undertaking relevant activities; and
- Understand and promote responsible research conduct, participate in relevant professional development and training to maintain currency of knowledge, treat fellow researchers fairly and with respect and promptly raise concerns regarding questionable research practices by themselves or others.

Failure to adhere to these principles, this policy and the [Australian Code for the Responsible Conduct of Research](#) is a serious matter that may be grounds for disciplinary action. The University's [Research Misconduct Allegation Procedures](#) outlines how to make, receive and report allegations and complaints about suspected research breaches or misconduct.

Advisers in research integrity and ethics (ARIAEs)

The University appoints and supports a network of experienced researchers who are able to provide advice regarding responsible and ethical research practices relevant to specific methodologies and/disciplines. Advisers in research integrity and ethics also act in an advisory capacity in the process of making an allegation of a possible breach or possible research misconduct in accordance with this Policy and the [Research Misconduct Allegation Procedures](#).

Management of research data and primary materials

Researchers must ensure that research data and primary materials are managed in a way that complies with:

- The [Australian Code for the Responsible Conduct of Research](#) as outlined in the University's [Research Data Management Procedures](#), [Records Management Policy](#) and associated Procedures and [disposal schedules](#) as well as any other relevant Governance Documents;
- Any legal, contractual, privacy or cultural restrictions or requirements; and
- Any data-related policies of research funders.

While all researchers are responsible for research conduct, outputs, data and materials management, the Principal Investigator of a research project is responsible for ensuring that data and materials are managed correctly and appropriate records are maintained for that project.

The research team must formulate a Research Data Management Plan that outlines ownership, storage, retention and transfer of research data and primary materials, prior to the beginning and throughout the life of the project. In addition, the Research Data Management Plan must address appropriate access by the research community in accordance with disciplinary conventions and the requirements set out below:

Ownership and Custodianship

Research data and primary materials generated as part of any research project carried out under the auspices of the University, normally remains under the custodianship of the University. Unless alternative ownership or custodianship arrangements have been established by the research data management plan for the project and/or specified delegations and contractual obligations, or some or all of the data and primary materials fall under copyright or intellectual property rights including Indigenous Intellectual Property (IP) and Knowledges rights.

Storage

University research data, primary materials and records must be:

- Accurate, complete and retained in sufficient and appropriate detail and/or condition for the discipline/ methodology, to enable verification of research results, substantiation of published claims and to reflect what was communicated, decided or done;
- Stored and transported and communicated responsibly and securely to prevent unauthorised access, destruction, alteration or removal, accidental or intended damage or destruction, especially where there are risks or ethical sensitivities with the data or where the research is subject to allegations of suspected research breaches or misconduct; and

- In the case of identifiable personal data, the consent obtained with regard to retention, confidentiality, access and reuse must be adhered to, and data must be retained and stored in accordance with any applicable approvals such as ethics committee approvals.

Retention and Transfer

University research data, primary materials and records must be:

- Retained intact, according to the University's Research Data Disposal Schedules, and the minimum retention timeframes determined by discipline, broadly outlined as follows:
 - Short-term research projects for assessment purposes only - retain for twelve (12) months from completion of project:
 - General research - retain for five (5) years after publication unless:
 - The discussion of results continues and/or allegations of research breach or misconduct exist;
 - There are regulatory or sponsor requirements; or
 - The data has historical, cultural, scientific, or archival value;
 - Clinical trials with research involving humans - retain for fifteen (15) years after publication;
 - Gene therapy patient data / records - retain permanently; and
 - Significant heritage value data - retain permanently, preferably within a national collection
- Retained, used and transferred in accordance with the research data management plan including in instances where researchers change institutions, join or withdraw from collaborative projects; and
- Subject to ethical, contractual and legal limitations, researchers are encouraged to make their data, records and materials available for wider use. Data should be kept and accessed in a form however, that allows reference by third parties without breaching confidentiality.

When data is obtained from limited access databases, or via a contractual arrangement, written indication of the location, or key information regarding access to the original data, must be retained by the researcher.

Where external service providers are used for a project and identified personal information is involved, the contract must include adequate safeguards for the security of the data and records and for notification of any breaches of their security. In the case of identifiable information, there must be a formal contract with the service provider.

Supervision of Research Students

HDR students and their supervisors are expected to understand and follow the University's [HDR - Supervision and Mentoring Procedures](#), [Common Course Rules](#), [HDR – Examination Procedures](#), [HDR - Presentation of Thesis Procedures](#) and other relevant research Governance Documents detailing the standards expected of all persons involved in the supervision, assessment and administration of candidatures, and HDR students' research activities.

HDR students are trainee researchers. Students must comply with all University requirements for researchers as outlined in this policy and elsewhere. Supervisors and other researchers must ensure that students under their supervision are trained, mentored and competent to conduct their research. Supervisors have a special responsibility to ensure that students understand the principles and

compliance requirements set out in this policy and in regards to legislation and regulations relevant to their research.

Students must obtain appropriate information and instruction, and undergo training and other supervision to ensure their health, safety and welfare in accordance with the University's [Work Health and Safety Policy](#) and relevant procedures.

Students must present for review by a supervisor, drafts of articles, conference presentations, and other outputs from supervised research projects ahead of dissemination or publication. Students must be afforded appropriate acknowledgement for their research including both publications and intellectual property in accordance with the University's [Intellectual Property Policy](#).

The establishment of agreements for the supervision of joint degree PhD students, and the conduct of such collaborations, should observe the principles of this Policy and those outlined in the [Singapore Statement on Research Integrity](#) and the [Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations](#).

Publication and Dissemination of Research Findings

All persons engaged in research must act with honesty, integrity, accuracy and responsibility in the dissemination of research findings and creation of research outputs as outlined below:

- Researchers should communicate and make available their research findings, including where applicable, negative findings and results contrary to their hypotheses to a range of audiences, subject to any agreed conditions imposed by ethical, legal and contractual arrangements;
- The University encourages open access dissemination through its institutional repositories for all research. National Health and Medical Research Council (NHMRC) and Australian Research Council (ARC) funded research that do not have restrictions otherwise, must be made openly accessible within a twelve (12) month period from the publication date;
- Researchers should normally inform those directly impacted by the research before informing the media. When discussing the outcomes of a research project in the media or other public forums, special care should be taken to explain the status of the project, for example, whether it is still in progress;
- Researchers are expected to be diligent in ensuring that published reports, statistics and public statements about research activities and performance:
 - Are complete, accurate and unambiguous;
 - Cite other relevant work appropriately and accurately;
 - Do not include inaccurate or misleading information relating to research activity in research outputs, curriculum vitae, grant applications, job applications or public statements.

This is required in order to avoid misleading the research community and the public. In the event that a researcher becomes aware of unintentional misleading or inaccurate statements in their work, they must attempt to correct the record;

- All persons engaged in research must comply with the University's [Media and Public Commentary Policy](#) and [Social Media Policy](#);
- Publication of more than one (1) research output with substantially similar content on the same set/s or subset/s of data is not acceptable, except when each subsequent output fully acknowledges earlier outputs. Material translated into different languages must also clearly

reference original research outputs. An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission;

- Research outputs must cite the sources of financial support for the research as well as disclosure of any potential conflicts of interest. Financial sponsorship that carries an embargo on naming of a sponsor can occur only with approval of the Deputy Vice-Chancellor, Research and Research Training;
- Researchers are urged to claim the right to unfettered publication of results. However, confidentiality provisions to protect intellectual property rights, including restrictions to publication, may be agreed between the University and a sponsor of the research in accordance with the University's [Intellectual Property Policy](#). Prior approval from the Deputy Vice-Chancellor, Research and Research Training must be obtained where such agreements limit free publication and discussion.

Authorship

Researchers must acknowledge appropriately and accurately, the ideas or work of others in accordance with the [Australian Code for the Responsible Conduct of Research](#) and the University's [Academic and Scientific Misconduct Policy](#), Authorship of Research Output Procedures, and as outlined below.

Authorship of a research output, including web publications, conveys recognition of significant contribution to the work and responsibility for the material presented. Authorship must be attributed based on substantial intellectual contributions in one or more of the following:

- Conception and design of the project;
- Analysis and interpretation of research; or
- Drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

A person who has made a significant contribution to the work underpinning a publication, but does not meet any of the above criteria, should not be listed as an author.

Authors must ensure the work of others who have made significant contributions are appropriately recognised and acknowledged in a manner consistent with the norms of the research field, discipline and publisher and with the person's approval. Individuals and organisations providing access to facilities, samples or reference collections should also be acknowledged where appropriate.

When there is more than one (1) author of a research output, agreement amongst the authors, regarding authorship is to be assigned as early as possible in the development of each research output. This agreement establishes an authorship plan in which an author must be nominated, as corresponding author for the purposes of administration and correspondence, and an author must be nominated as being responsible for all parts of the output. This agreement should be:

- Documented on the University's Authorship Record form or another appropriate authorship form;
- Reviewed periodically; and
- Retained with records of signed acknowledgments of authorship for all publications maintained.

In the case where an author is deceased or cannot be contacted despite reasonable efforts, the publication should acknowledge this and proceed, providing there are no grounds to believe that the person would have objected to being included as an author.

Peer Review

The University encourages all researchers to participate in peer review processes to add credibility to the reporting of research, awarding of research grants and assessment of research performance, to support regulatory processes, and to encourage open scrutiny and critique of the robustness of research.

Researchers participating in peer review:

- Must do so in an ethical, confidential, and timely manner, giving due consideration to the relevant criteria and to research that challenges accepted, or their own personal, views;
- Must disclose a conflict of interest to the person or organisation requesting the review either, prior to accepting the request or as soon as the conflict of interest becomes apparent;
- Should not agree to review any research for which they have a conflict of interest which cannot be resolved, or where the research is outside his or her area of expertise; and
- Must respect the confidentiality of knowledge acquired during the review process and not use it for purposes outside of the review process.

Researchers whose research is being peer reviewed must not seek to influence the process or the outcomes.

Supervising and senior researchers have a responsibility to assist more junior and trainee researchers in developing the necessary skills for peer review and understanding his or her obligation to participate.

Conflict of Interest

In the context of research, a conflict of interest exists where a person's or institution's interests or responsibilities have the potential to compromise research findings or outcomes, professional obligations, expectations or reputation in research and research governance. Conflicts of interest may also be perceived and can raise serious concerns about research integrity and management. Any actual or potential conflicts must be appropriately disclosed, managed and recorded in accordance with the University's [Conflicts of Interest Policy](#) and [Procedures](#).

All persons engaged in and/or facilitating research and research funding have an obligation to identify and disclose any real or perceived conflict of interest at the point of proposing research, or as soon as such a conflict emerges.

Declarations must be made to appropriate personnel and parties involved in the research and a written plan to manage the conflict of interest must be established and maintained in accordance with research data management requirements. Management of conflicts of interest must resolve the conflict to the satisfaction of the Declarees.

Specific requirements around declaration and management responsibilities should be identified in the plan including:

- For the conduct of clinical trials, full disclosure must include the nature of the sponsorship and the relationships between the sponsor, trial participants and the clinical investigator;

- Where relevant, appropriate or required, disclosures regarding a conflict of interest must also be made to any relevant ethics committee, research participants, collaborators, or sponsors.
- When disseminating or publishing the results of a project, disclosure of conflicts of interest must at least be made to the relevant editor or publisher.

Researchers must not make, or attempt to make, unlawful profits or gains from their participation in, or knowledge of, research conducted at the University and must comply with the University's [Code of Conduct, Academic and Scientific Misconduct Policy, Fraud, Bribery and Corrupt Conduct Prevention Policy, Commercial Work Policy](#), as well as the [Charles Darwin University and Union Enterprise Agreement](#).

Collaborative Research across Institutions

The University encourages collaborative research within and beyond the University, nationally and internationally. Due to the complexity of cross-collaborative projects it is critical that agreement regarding research data management, authorship, intellectual property and conflicts of interests are established, documented and maintained appropriately. Such written agreement agreements must cover:

- Ownership of intellectual property;
- Ownership, location and access to data and materials;
- Confidentiality;
- Identification and management of conflicts of interest;
- Protocols for the dissemination of research outputs;
- Sharing of commercial returns; and
- Responsibility for ethics and research safety.

All persons engaged in research involved in a collaborative research project:

- Should keep a record of all negotiations with collaborators and any arrangements that are made. This record may take the form of copies of relevant email correspondence;
- Must familiarise themselves, and comply, with the written agreement governing the collaboration and all policies and agreements affecting the project; and
- Disclose to their collaborators, as soon as possible, any actual or apparent conflicts of interest relating to any aspect of a collaborative project in accordance with the University's [Conflicts of Interest Procedures](#).

ESSENTIAL SUPPORTING INFORMATION

Internal

[Academic and Scientific Misconduct Policy](#)

[Charles Darwin University and Union Enterprise Agreement](#)

[Defence Export Controls Policy](#)

[Charles Darwin University \(Student of the University\) By-laws](#)

[Code of Conduct](#)

[Common Course Rules](#)

[Conflicts of Interest Policy](#)

[Conflicts of Interest Procedures](#)

[External Work Policy](#)

[Fraud, Bribery and Corrupt Conduct Prevention Policy](#)

[HDR – Examination Procedures](#)

[HDR - Presentation of Thesis Procedures](#)

[HDR – Supervision and Mentoring Procedures](#)

[Institutional Repository Policy](#)

[Intellectual Property Policy](#)

[Media and Public Commentary Policy](#)

[Records Management Policy](#)

[Research Data Management Procedures](#)

[Research Misconduct Allegation Procedures](#)

[Social Media Policy](#)

[Work Health and Safety Policy](#)

External

[Animal Welfare Act 1999](#) (NT)

[Animal Welfare Regulations 2004](#) (NT)

[Australian Code for the Responsible Conduct of Research 2007](#) (Commonwealth)

[Australian Code for the Care and Use of Animals for Scientific Purposes 2013](#) (Commonwealth)

[Australian Research Council Research Integrity and Research Misconduct Policy](#)

[Defence Trade Controls Act 2012](#) (Commonwealth)

[Gene Technology Act 2000](#) (Commonwealth)

[Gene Technology Regulations 2001](#) (Commonwealth)

[Guidelines for Ethical Research in Australian Indigenous Studies 2012](#) (Commonwealth)

[Keeping research on track: a guide for Aboriginal and Torres Strait Islander peoples about health research ethics 2006](#) (Commonwealth)

[Montreal Statement on Research Integrity in Cross-Boundary Research Collaborations](#)

[National Statement on Ethical Conduct in Human Research 2007](#) (Commonwealth)

[Singapore Statement on Research Integrity](#)

[Statement on Consumer and Community Participation in Health and Medical Research 2002](#)
(Commonwealth)

[Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research 2003](#) (Commonwealth)

Document History and Version Control

Last amendment:	13 Dec 2017	Next Review:	May 2020
Sponsor:	Deputy Vice-Chancellor, Research and Research Training		
Contact Officer:	Deputy Vice-Chancellor, Research and Research Training		

Version	Date Approved	Approved by	Brief Description
1.00	4 May 2005	Council	Creation of original document and upload to CDU website.
1.01	13 Mar 2010	Governance and Academic Board (Mar 2009)	<ul style="list-style-type: none"> • Change old policy into new format style. • Add statement of authority, relevant definitions, document history and version control and essential documents in keeping with new policy format. • Amend minor grammatical and spelling errors. • Amend Deputy Vice-Chancellor Research to Deputy Vice-Chancellor Research and International to reflect change in position title. • Amend Audit and Risk Committee to Finance, Risk and Review Committee to reflect change in committee title. • Change contact officer from Manager, Governance to Deputy Vice-Chancellor Research and International. • Change Australian Vice Chancellor's Committee (AVCC) to Universities Australia to reflect relevant authority change. • Add reference and hyperlink to the Australian Code for the Responsible Conduct of Research. • Amend Executive Director Business Services to Executive Director Corporate Services to reflect title change. • Removal of authorisation by previous Vice-Chancellor and date of authorisation. • Addition of new and relevant Essential Supporting Documents and hyperlinks to documents.
1.02	10 Jun 2010	Governance	<ul style="list-style-type: none"> • Change contact officer to Deputy Vice-Chancellor, Research and International • Add Vice-Chancellor as policy sponsor • Updated Hyperlinks • Amend Dean to be Executive Dean to reflect title change
1.03	29 Dec 2010	Governance	<ul style="list-style-type: none"> • Convert document to new template • Senior Staff changed to Senior Executives. • Amend Executive Dean to Pro Vice-Chancellor to reflect title change.
1.04	2 Feb 2011	Governance	<ul style="list-style-type: none"> • Minor changes to spelling, grammar and formatting. • Addition of hyperlinks and essential supporting documents
1.05	10 Jan 2012	Governance	<ul style="list-style-type: none"> • Removal of reference to Finance, Risk and Review Committee as no longer active. • Amended position titles in accordance with new organisational chart. • Update hyperlinks

			<ul style="list-style-type: none"> • Minor changes to grammar and formatting
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1.07	4 Sep 2015	Governance	<ul style="list-style-type: none"> • Corrected minor formatting • Under Essential supporting information, removed Research Data Management Guidelines
2.00	13 Dec 2017	Vice-Chancellor	<ul style="list-style-type: none"> • Complete review of document including name change from Research Practice Policy to Responsible Conduct of Research Policy. • Amend Policy Sponsor from VC to DVC, RRT and Policy Contact from DVC to Director, Research • Conversion to new template due to new University branding