

## Griffith University Code for the Responsible Conduct of Research

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<b>TRIM document</b>	2015/6008082
<b>Description</b>	This policy describes the attributes of responsible research practice and sets out the standards expected of the University and researchers.

### Related documents

[Private Practice Policy](#)

[Consultancy and Commercial Research Policy](#)

[Griffith University Research Ethics Manual](#)

[Conflict of Interest policy](#)

[Health and Safety Policy](#)

[University Sector Retention and Disposal Schedule](#)

[Records Management Policy](#)

[Intellectual Property Policy](#)

[Academic Misconduct Policy - Higher Degree Research Candidates](#)

[Student Misconduct Policy](#)

[Academic Staff Enterprise Agreement 2012-2016](#)

[General Staff Enterprise Agreement 2012-2016](#)

### Training-related

[Code of Practice for the Supervision of Higher Degree Research Students](#)

[Higher Degree Research Supervisor Accreditation Policy](#)

[Higher Degree Research Policy](#)

[Bachelors Honours Degree \(AQF Level 8\) Policy](#)

[Guidelines for Undertaking a Dissertation in Bachelor Honours and Masters Degree Programs](#)

[Role Statement - Honours Program Director](#)

[Position Statement - Dean \(Research\)](#)

[Position Statement – Group Pro Vice Chancellor](#)

[Position Statement - Head of School/Department](#)

[Role Statement – Higher Degree Research Convenor](#)

### Related external codes and guidelines

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

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

[Australian Code for the Care and Use of Animals for Scientific Purposes 8th edition 2013](#)

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

[Guidelines for Ethical Research in Indigenous Studies \(Updated 2012\)](#)

[Statement on Consumer and Community Participation in Health and Medical Research \(the Statement on](#)

## **Related legislation**

[Queensland Animal Care and Protection Act 2001](#)

[Commonwealth Privacy Act 1988 \(Amended in 2001\)](#)

[Privacy Amendment \(Enhancing Privacy Protection\) Act 2012](#)

[Queensland Information Privacy Act 2009](#)

[Queensland Public Records Act 2002](#)

[Queensland Workplace Health and Safety Act 1995](#)

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[\[Preamble\]](#) [\[Scope\]](#) [\[Meaning of research\]](#) [\[Meaning of 'under the auspices of Griffith University'\]](#) [\[Observance of the Code\]](#) [\[Introductory statement about Griffith University research\]](#) [\[General principles of responsible research\]](#) [\[Management of research data and primary materials\]](#) [\[Training of researchers in responsible conduct\]](#) [\[Publication ethics and the dissemination of research findings\]](#) [\[Authorship\]](#) [\[Peer review\]](#) [\[Conflicts of interest\]](#) [\[Collaborative research across institutions\]](#) [\[Research Integrity Advisors\]](#) [\[Research Misconduct\]](#)

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## **1. PREAMBLE**

*The Griffith University Code for the Responsible Conduct of Research (The Griffith University Code)* outlines standards of responsible and ethical conduct expected of all persons engaged in research under the auspices of Griffith University.

The University has developed this Code to meet the standards set out in the *Australian Code for the Responsible Conduct of Research (2007)* hereafter the *Australian Code*.

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## **2. SCOPE**

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

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## **3. MEANING OF 'RESEARCH'**

This code is based on the same meaning of 'research' as adopted by the *Australian Code*, namely:

*Original investigation undertaken to gain knowledge, understanding and insight.*

Griffith University research may include:

- professional practices in the visual and performing arts
- consultancies with research components
- systematic investigations undertaken to improve the University's own functioning in teaching, research and administration.

An investigation for University improvement purposes will fall within the scope of this *Griffith University Code for the Responsible Conduct of Research* only if:

- the investigation falls within the scope of the University's human or animal research ethics arrangements"; or
- the results are likely to be published or reported beyond the University.

If the investigation involves human participants, for example, by the completion of questionnaires and participation in focus groups, the person conducting the investigation must consult the Griffith

University Research Ethics Manual to see if the activity falls within the scope of the University's human research ethics arrangements before proceeding.

If the investigation involves the use of animals written approval or an exemption notification must first be gained from the Animal Ethics Committee.

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#### **4. 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 funded and unfunded research, research that has no need of ethical clearance, and research conducted by general staff.

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:

- Will the research activity/output be claimed for internal/external purposes through 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?
  - Is the work covered by Griffith University's insurance/indemnity?
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#### **5. OBSERVANCE OF THE CODE**

Researchers and support staff must familiarise themselves with *The Griffith University Code* and ensure that its provisions are observed.

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#### **6. INTRODUCTORY STATEMENT ABOUT GRIFFITH UNIVERSITY RESEARCH**

The University is committed to maintaining an environment that fosters responsible research. A responsible research culture will demonstrate honesty and integrity, respect for human research participants, animals and the environment, good stewardship of public resources used to conduct research, and responsible communication of research results.

Research that is conducted with integrity is carried out by researchers with a commitment to searching for knowledge and understanding; following recognised principles of research conduct; conducting research honestly; and disseminating and communicating results, whether favourable or unfavourable, in ways that permit scrutiny and contribute to public knowledge and understanding.

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#### **7. GENERAL PRINCIPLES OF RESPONSIBLE RESEARCH**

##### **7.1 Responsibilities of Griffith University**

The University undertakes to:

- promote awareness of all its policies and procedures, and other guidelines and legislation relating to the conduct of research; and to make relevant documents readily available to researchers;
  - facilitate mutual cooperation with open exchange of ideas between peers;
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- respect and support freedom of expression and inquiry;
- maintain a climate in which responsible and ethical behaviour in research is expected;
- have a well-defined process for receiving and managing allegations of research misconduct;
- train research staff and students in responsible and ethical research practice;
- promote appropriate mentoring and supervision of researchers and research trainees;
- ensure, as far as practicable, a safe working environment in which to conduct research and, as far as practicable, the safety of all those associated with the research; and
- ensure, as far as practicable, that agreements with contractors who conduct research on behalf of the University include a commitment to follow the general principles of the *Australian Code* or the *Griffith University Code*.

## 7.2 Responsibilities of researchers

Researchers are expected to foster and maintain a research environment of intellectual honesty and integrity, and scholarly and scientific rigour. This requires researchers to:

- a. conduct themselves ethically, with integrity and professionalism;
- b. search for knowledge and understanding;
- c. conduct research honestly;
- d. respect the rights of those affected by their research;
- e. manage conflicts of interest so that ambition and personal advantage do not compromise ethical or scholarly considerations;
- f. adopt methods appropriate for achieving the aims of each research proposal;
- g. follow proper practices for safety and security and comply with relevant legislation, standards and University policy;
- h. cite awards, degrees conferred and research publications accurately, including the status of any publication, such as review or in press, when giving information about themselves or others;
- i. promote the adoption of responsible research practice and adherence to the *Griffith University Code*;
- j. ensure, as far as practicable, that agreements with contractors that they engage to conduct research under the auspices of Griffith University include a commitment to follow the general principles of the *Australian Code* or the *Griffith University Code for the Responsible Conduct of Research* or another code that is consistent with these;
- k. report suspected research misconduct;
- l. conform to the policies adopted by their institutions and bodies funding the research;
- m. ensure that they disseminate their research findings responsibly;
- n. identify, assess and appropriately control risks to the health and safety of all persons conducting and participating in research, in accordance with the Workplace Health and Safety Act 1995, and the University's Health and Safety Policy;
- o. design and conduct their research so as to minimise adverse effects on the wider community, animals and the environment; and
- p. appropriately acknowledge the role of others in research.

Researchers must respect human research participants and comply with ethical principles of integrity, respect for persons, justice and beneficence. These principles are elaborated in the Griffith University Research Ethics Manual and the National Statement on Ethical Conduct in Human Research (2007). Researchers whose project involves human participants must consult the manual. If the project is one that involves humans (as defined by the Griffith University Research Ethics Manual) then the project may not proceed until the project is either

confirmed as being exempt from ethical review, or the review has been conducted and authorisation to commence the research has been received.

Researchers undertaking research with Aboriginal and Torres Strait Islander peoples should also consult *Values and Ethics - Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research* (NHRMC 2003) and *Aboriginal and Torres Strait Islander Studies' Guidelines for Ethical Research in Australian Indigenous Studies* (GERAIS).

Researchers considering consumer or community participation in health or medical research should also consult the Statement on Consumer and Community Participation in Health and Medical Research (the Statement on Participation) (NHRMC and Consumers' Health Forum of Australia Inc, 2002).

Researchers have personal responsibility for all matters that relate to the wellbeing of animals that they use, including their housing, husbandry and care. This responsibility extends throughout the period of use approved by the Animal Ethics Committee until provisions are made for the animal at the conclusion of their use. Respect for animals must underpin all decisions and actions involving the care and use of animals for scientific purposes in accordance with the *Australian Code for the Care and Use of Animals for Scientific Purposes* 8th edition 2013 and the Queensland Animal Care and Protection Act 2001. Researchers who intend to use animals must first obtain written approval from, the Animal Ethics Committee.

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## 8. MANAGEMENT OF RESEARCH DATA AND PRIMARY MATERIALS

This section of the Code should be read in conjunction with the Records Management Policy and the University Sector Retention and Disposal Schedule.

The responsible conduct of research includes the proper management and retention of the research data and primary materials.

The researcher must decide which data and materials should be retained, although in many cases this is determined by law, University policy, funding agency, publisher or by convention in the discipline. Given that the central aim of University policy is that sufficient materials and data are retained to justify the published or reported outcomes of the research and to enable the researcher to defend the outcomes if they are challenged, it follows that the data and primary materials for research that does not lead to a publication or report may not require retention to the same extent as published research.

University policy on retention periods for research data and primary materials is found in the Schedule of Retention Periods for Research Data and Primary Materials attached as an Annexure to this Code. The Schedule is consistent with the University Sector Retention and Disposal Schedule approved by Queensland State Archives in 2014.

University policy on the ownership of intellectual property in research data and other outputs of research is found in the Intellectual Property Policy.

For human research, guidance on ethical issues in the management of data and primary materials is found in the Griffith University Research Ethics Manual. The manual also gives guidance on privacy issues in the management of data and primary materials.

For research involving animals, researchers must monitor and assess animals, and must maintain records of the care and use of animals, and make such records available for audit by the institution, the Animal Ethics Committee and authorised external reviewers. Animal monitoring score sheets and other documentation relating to the monitoring of animal management and welfare in research are considered primary materials and are to be stored for at least seven years after the last action is taken on the research project.

Guidance on health and safety issues in the management of primary research materials that may be hazardous is found on the Health, Safety and Wellbeing sections of the Human Resources Management website.

### 8.1 Responsibilities of Griffith University

The University undertakes to:

- provide information to guide researchers in analysing requirements for management of data and primary materials
- provide information to guide researchers in identifying data and primary materials for retention and deciding on retention periods and conditions
- maintain a Schedule of Retention Periods for Research Data and Primary Materials to specify minimum retention periods for various types of research
- provide safe and secure University facilities sufficient to enable researchers to store research data and primary materials for the length of time determined by the researcher as necessary to comply with University policy as specified in the Schedule of Retention Periods for Research Data and Primary Materials attached as an Annexure to this Code
- maintain records of the location of retained data and primary materials, including locations outside the University's control such as external databanks as far as practicable
- provide facilities and assistance to the researcher for the safe and secure disposal of research data and primary materials when the period of retention has finished
- ensure that agreements establishing research collaboration amongst institutions address issues of ownership, storage and management of research data and primary materials.

## **8.2 Responsibilities of Deans (Research)**

Relevant Deans are required to:

- ensure that there are procedures within their organisational units for recording the location of retained research data and primary materials associated with published research outputs.

The relevant Dean (Research) is responsible for confirming the submission of published outputs to the University's annual research publications and outputs survey.

The procedures should be designed so that data and records of primary materials could be retrieved by an authorised person other than the researcher. To this end, the procedures should capture and record (1) the location of data and primary materials, (2) the location of physical keys, passwords, or other devices necessary to access them, (3) information on indexes, catalogues or other finding tools necessary to access them, and (4) conditions of access.

## **8.3 Responsibilities of researchers**

In designing a research project, researchers are required to

- a. analyse the requirements for management of data and primary materials
- b. ensure data and records are accurate, complete and in sufficient detail to enable verification of research results and to reflect what was communicated, decided or done
- c. ensure materials, as appropriate for the discipline and methodology (e.g. lab notes for chemical science work, audio recordings and samples for linguistics, field notes for anthropology) are retained to substantiate published claims and research results
- d. ensure hard and digital data are recorded in a durable and retrievable form, are appropriately indexed and comply with relevant protocols
- e. ensure, in human research, that adequate consent is obtained for planned future use and storage of data and primary materials
- f. ensure, for research involving animals, that records of the care and use of animals are stored and made available for audit by the institution, the Griffith University Animal Ethics Committee (GUAEC) and authorised external reviewers on request.

Throughout a research project, researchers are required to:

- g. keep clear and accurate records of the research methods and data sources, including any approvals granted
- h. keep research data and primary materials in safe and secure storage
- i. ensure that research data and primary materials are transported or communicated by safe and secure methods

- j. provide the same level of care and protection to primary research records, such as laboratory notebooks, as to the analysed research data
- k. for research involving animals, report on their use of animals and any unexpected or adverse events as required
- l. handle research data and primary materials in accordance with relevant legislation, University policy, legal agreements, funding agency policy, research ethics protocols, privacy protection and confidentiality compliance. Where these conflict, advice from the Office for Research should be sought.

At the end of a project, researchers are required to:

- m. identify data and primary materials for long term retention
- n. decide the minimum period<sup>1</sup> of retention in accordance with University policy as specified in the Schedule of Retention Periods for Research Data and Primary Materials attached as an Annexure to this Code, practices in the discipline, relevant legislation, publisher policies, codes and guidelines
- o. specify conditions of access to the stored data and primary materials in accordance with relevant legislation, University policy, legal agreements, funding agency policy, research ethics protocols, privacy protection and confidentiality compliance
- p. use University facilities or another official location authorised by the University, wherever possible, for safe and secure storage of the data and primary materials identified for retention for the determined period
- q. ensure that arrangements for the storage of data and materials are documented in accordance with the procedures within their organisational units for recording the location of retained research data and primary materials associated with published research outputs.

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

In identifying the data and primary material for retention, the researcher should also consider the potential value for future research. This is especially the case where the research would be difficult or impossible to repeat or where repeating the research would place a significant burden on human participants or require further use of animals. However, regulatory or ethical requirements may limit the reuse of data, especially if the data is identified personal information.

Research data in fixed physical formats, such as paper or film, and in electronic formats that are read-only and portable, such as compact discs and DVD, may be deposited with the University's central records management section, Corporate Archives and Records Management Service (CARMS), for ongoing storage and eventual disposal by them in accordance with their procedures.

Where approved external data storage 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;

Researchers **may** store copies of research data and primary materials on personal facilities **in addition to University facilities**, only if those facilities are safe, secure, and comply with relevant legislation, University policy, legal agreements, funding agency policy, research ethics protocols, privacy protection and confidentiality requirements.

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<sup>1</sup> Data from human research may be retained for longer if informed consent for the retention has been obtained and one of the circumstances discussed below exist;

Data from research may be retained for longer if:

- i. discussion about the results continues;
- ii. there are regulatory or sponsor requirements; or
- iii. the data has historical or archival value.

Researchers are encouraged to make research data and primary materials available to other researchers unless this is prevented by law, University policy, legal agreements, data licence agreements, funding agency policy, research ethics, privacy protection or confidentiality compliance.

Where funding agency policy encourages the deposit of research data in digital form in an appropriate subject or institutional digital repository, researchers are encouraged to comply, unless this is prevented by law, University policy, legal agreements, data licence agreements, research ethics, privacy protection or confidentiality compliance. Where practicable, researchers are encouraged to use research data repository services offered by Information Services.

At the end of the retention period, researchers are encouraged to:

- review the need for further retention of the data and primary materials
- dispose of data and primary materials safely and securely in accordance with University policies, if no longer needed
- update the University's records of retained data.

For human research guidance on ethical issues in the retention of data and primary materials beyond the originally determined period is found in the Griffith University Research Ethics Manual.

While all researchers are responsible for data and materials management, the Chief Investigator of a research project is responsible for ensuring that data and materials are managed correctly for that project.

#### **8.4 Responsibilities of both researchers and the University**

If results from research are challenged, all relevant data and primary materials must be retained until the matter is resolved.

Research records that may be relevant to allegations of research misconduct must not be destroyed.

When researchers leave the University, the University will no longer be responsible for the storage of their research data and primary materials, unless:

- an agreement to this effect has been made between the researcher and the University; or
- a funding or other agreement to this effect has been made between the University and a third party; or
- the University is the legal owner of the primary materials or the intellectual property in the data.

In cases where the University is no longer responsible, the researcher will be responsible for continuing storage, management, and disposal of the retained data for the minimum period as indicated by the Schedule of Retention Periods for Research Data and Primary Materials attached as an Annexure to this Code, under conditions that comply with security, safety, privacy, and confidentiality requirements of any ethical clearance the project was granted, any funding agreement, and any data licence agreement.

University policy on the ownership of intellectual property in research data and other outputs of research is found in the Intellectual Property Policy.

When researchers leave the University, the University will no longer be responsible for maintaining records of the location of their retained data and primary materials, unless the University is responsible for their storage.

When researchers leave the University, they are advised to ensure that their arrangements for the storage of data and materials continue to comply with the *Australian Code* for the Responsible Conduct of Research and that they continue to be documented.

## 9. TRAINING OF RESEARCHERS IN RESPONSIBLE CONDUCT

Section 3 of the *Australian Code* refers to research trainees and the supervisors/mentors of trainees. This section relates to all research trainees including Higher Degree Research (HDR) candidates, other student researchers, and early career researchers. This section must be read in conjunction with the following University policies:

- *Code of Practice for the Supervision of Higher Degree Research Students*, which describes the roles and responsibilities for the supervision of HDR candidates.
- *Higher Degree Research Supervisor Accreditation Policy*, which provides guidelines for accreditation and continuing professional development of new and existing supervisors, where the supervisor is responsible for a research trainee undertaking a higher degree by research or doctoral program.
- *Higher Degree Research Policy*, which details the requirements for HDR qualifications
- *Guidelines for Undertaking a Dissertation in Bachelor Honours and Masters Degree Programs*, which provide guidelines for students undertaking a research project and describes the responsibilities of supervisors.
- *Role Statement - Honours Program Director*, which sets out the responsibilities of the Honours Program Convenor in assuring the quality and success of the undergraduate research training program.
- *Position Statement - Dean (Research)*, which identifies a responsibility to foster high quality research training programs within the Group.
- *Position Statement - Group Pro Vice Chancellor*, which identifies a responsibility to foster high quality research training programs and environment in the Group.
- *Position Statement - Head of School/Department*, which identifies a responsibility to foster a high quality research training program and environment in the School/Department.
- *Role Statement - Higher Degree Research Convenor*, which sets out the responsibilities for managing and supporting research training in the School/Department

### 9.1 Responsibilities of Griffith University

In fulfilment of the commitment given in [section 7.1](#) to train research staff and students in responsible and ethical research practice, the University undertakes to:

- provide training programs in the responsible conduct of research for
  - research trainees
  - supervisors of research trainees
  - staff new to research, both general and academic
  - staff new to the University, whose duties include research.

### 9.2 Definition of 'research trainees'

In this context, research trainees include:

- early career researchers
- students enrolled in programs that involve a research dissertation or project worth at least 30 points of academic credit.

There will be some students involved in research projects who do not meet the definition of 'research trainee' in this context. Where such student projects require ethical clearance, the Griffith University Research Ethics Manual specifies responsibilities for training in ethical research conduct.

### 9.3 Roles and responsibilities within the University

The training of researchers in responsible conduct of research involves many roles and organisational elements within the University. This section summarises particularly critical roles and responsibilities.

- Mentors of early career researchers should identify appropriate resources (such as the Research Integrity Resource Sheets) and training to research trainees.
- Principal supervisors of research trainees are responsible for identifying and providing appropriate training to research trainees. The Griffith Graduate Research School supports supervisors of trainees in carrying out this responsibility by providing a compulsory research induction program for HDR candidates plus a range of optional training activities.
- Deans (Research) and/or Heads of Element are responsible for identifying and providing appropriate training to supervisors of research trainees. In identifying appropriate training, the requirements of the Supervisor Accreditation Policy and prior learning should be taken into account. The Griffith Graduate Research School supports academic managers in this responsibility by offering Higher Degree Research supervision development programs for academic staff.
- Academic Groups are required to identify within their organisational structure the role(s) with responsibility for determining appropriate training for staff who are new to research or new to the University. In determining appropriate training, prior learning should be taken into account. For academic staff new to the University, an orientation to responsible research conduct should be included in any general induction program.

### 9.4 Responsibilities of Deans (Research) and Heads of Element to supervisors of research trainees

Deans (Research) have overall responsibility for research and research training and for providing academic leadership in these activities. (*Code of Practice for the Supervision of HDR Candidates* section 6 and relevant position statements) Heads of Element are responsible for managing and supporting postgraduate research training within the element. (*Code of Practice for the Supervision of HDR candidates* section 7 and relevant positions statements).

Deans (Research) and Heads of Element are expected to identify and provide appropriate training to supervisors of research trainees.

Additional responsibilities of Deans (Research) and Heads of Element in relation to the supervision of research trainees are described in the *Griffith University Code of Practice for the Supervision of Higher Degree Research Students* and relevant position statements.

### 9.5 Responsibilities of supervisors of research trainees

Principal supervisors of research trainees are expected to:

- a) be familiar with University policies and procedures relating to research
- b) avail themselves of opportunities for research supervisor development
- c) identify and provide appropriate training to research trainees
- d) ensure trainees participate in responsible research conduct training and research ethics training as appropriate to the discipline, methodology and design of their work
- e) mentor their students with regard to the principles and requirements of *The Griffith University Code* and provide guidance in good research practice
- f) oversee the research process to ensure that
  - i. ethics and other approvals are obtained where necessary and their terms followed
  - ii. design, methods, analysis, interpretations and findings are appropriate and valid
  - iii. procedures and training are in place to manage the safety of a research trainee's project
  - iv. findings are reported in appropriate forums and media

- g) ensure the candidate's research data and materials are held with appropriate security and that a data and materials are retained within the University for at least the minimum period specified by the University policy on retention periods, or longer if necessary (See [section 8](#) of this document)
- h) ensure that research trainees receive appropriate credit and acknowledgement for their work.

Additional responsibilities of supervisors of HDR candidates are described in the *Griffith University Code of Practice for the Supervision of Higher Degree Research Students*.

Additional responsibilities of supervisors of research trainees in honours and coursework masters programs are described in the *Guidelines for Undertaking a Dissertation in Honours and Masters by Coursework Programs*.

## 9.6 Responsibilities of research trainees

Research trainees are expected to:

- engage actively in their research project, their research training and with their supervisor
- seek guidance from their supervisor on the conduct of their research
- demonstrate a responsible attitude toward the conduct of research and participate in training in responsible research conduct as soon as practicable after starting their program or course
- ensure that the design and conduct of their research adheres to the University's policies on ethical conduct and, where required, obtain prior ethical clearance for the work and comply with the terms of that clearance
- comply with the Griffith University Code.

Additional responsibilities of HDR candidates are described in the *Griffith University Code of Practice for the Supervision of Higher Degree Research Students*, and the HDR Website (specifically Section 10 of the Code of Practice).

Additional responsibilities of research trainees in honours and coursework masters programs are described in the *Guidelines for Undertaking a Dissertation in Honours and Masters By Coursework Programs*.

## 9.7 Responsibilities of staff new to research

Staff new to research are expected to participate in training in responsible research conduct as soon as practicable after commencement of duties and before commencing research that may require ethical approval or that involves other areas of risk.

## 9.8 Responsibilities of staff new to the University with prior research experience

Staff new to the University with prior research experience who conduct research are expected to:

- become familiar with University policies and procedures relating to research
- participate in training in responsible research conduct as determined in accordance with their Group's policy on staff training in research conduct.

# 10. PUBLICATION ETHICS AND THE DISSEMINATION OF RESEARCH FINDINGS

Communication between collaborators, maintenance of and reference to research records, presentation and discussion of work at meetings of experts, publication of results, including the important element of peer review, and the possibility that investigations will be replicated or extended by other researchers, all contribute to the self-correcting and ethical nature of research. Dissemination of research findings is an important part of the research process, passing on the benefits to other researchers, professional practitioners and the wider community. Research activities supported by public funding are rarely considered complete until the results have been made widely available. Indeed, publication is expected of academic staff and it brings rewards to both the University and the staff member.

However, research often cannot be undertaken without the support of sponsors, who may seek to control the research outcomes or exploit them commercially. In such cases, sponsors may seek to delay or otherwise restrict the release of research results. In publications and dissemination in such instances, the general principles of responsible research set out previously in [Section 7](#) of this Code apply and contractual obligations relating to the release of results must be honoured.

There are many ways of disseminating research findings. Formal publication of the results of research most commonly takes place in refereed academic journals or books, but this is not always the case. This section of the Code applies to all forms of dissemination of research findings, refereed and non-refereed, in any medium of communication, including conferences, public performance and public exhibition.

This section should be read in conjunction with [Section 11](#) on Authorship and [Section 12](#) on Peer review.

University policy on the ownership of intellectual property in publications and other outputs of research is found in the *Intellectual Property Policy*.

For research involving humans guidance on ethical issues in the publication and dissemination of research findings is found in the *Griffith University Research Ethics Manual*. The manual also gives guidance on privacy issues in the publication and dissemination of research findings.

For research involving animals, a completed Animal Research: Reporting of In Vivo Experiments ([ARRIVE](#)) checklist should be submitted as supplementary information to journals to assist reviewers and editors to ensure the high-quality reporting of animal research.

## 10.1 Responsibilities of Griffith University

The University undertakes to:

- promote an environment of honesty, integrity, accuracy and responsibility in the dissemination of research findings
- ensure in sponsored research arrangements that
  - sponsors understand the importance of publication in research and do not delay publication beyond the time needed to protect intellectual property and other valid interests
  - researchers are aware of contractual arrangements that restrict, delay or limit publication
  - all parties to the research are made aware of the nature and scope of confidentiality agreements
- support communication of research findings to the widest audience by various methods including use of the mass media and open access repositories such as Griffith Research Online
- assist researchers in effective communication through the mass media by the provision of advice, guidance, information resources and training opportunities.

## 10.2 Responsibilities of researchers

Researchers are expected to:

- comply with any contractual obligations to the research sponsor in the dissemination of findings
- disseminate a full account of their research, including negative findings and results contrary to their hypotheses, to the extent permitted by any restrictions relating to intellectual property, confidentiality, or culturally sensitive data, or arising from contractual obligations
- take all reasonable steps to ensure that their findings are complete, accurate and unambiguous and properly reported. If they become aware of misleading or inaccurate statements about their work, they must correct the record as soon as possible
- provide participants (human research), subject to limitations, with an appropriate and timely summary of the overall results of the work

- acknowledge the work of other authors and contributors, including advisors on cultural or community knowledge if consulted, with full and accurate citations
- declare and acknowledge in publications the support of the University and all other sources of financial and in-kind support for the research and any potential conflicts of interest
- comply with copyright law in publication and dissemination.

In sponsored research, researchers are expected to:

- **Manage confidentiality.** Sometimes the confidentiality requirements of a sponsor can prevent or delay peer review until after the research results are delivered to the sponsor. In such cases, the researcher must explain to the sponsor that the work has not been subject to peer review. Whenever a sponsor's confidentiality requirements prevent peer review of a research report before its delivery to the sponsor, the researcher must inform the sponsor.
- Honour any restrictions on communications that have been agreed with the sponsor.
- Acknowledge sources of financial support, where appropriate, for the research and including a disclosure of any potential conflicts of interest.
- (Subject to any conditions imposed by the research sponsor) Seek to communicate research findings to a range of audiences, which may include the sponsor, professional organisations, peer researchers, policy makers and the wider community. Researchers may be interviewed by the media, invited to participate in debates, and approached by individuals for comment. Researchers should seek training in communicating with the media and the community.

It is not acceptable for researchers to include the same research findings in several publications, except in particular and clearly explained circumstances, such as review articles, anthologies, collections, or translations into another language. An author who submits substantially similar work to more than one publisher, or who submits work similar to work already published, must disclose this at the time of submission and appropriately cite/acknowledge the earlier publication.

Publication of the same material translated into different languages is acceptable provided the original source is fully acknowledged.

Researchers should communicate their findings to the broadest scholarly community by making their research outputs available in open access repositories such as Griffith Research Online, subject to any necessary agreement with publishers or other legal obligations.

After peer review and in compliance with legal obligations to the sponsor and others involved in the research, researchers are encouraged to communicate findings to the wider public by various methods including use of the mass media. They are also encouraged to seek out and be ready to participate in activities where professional assistance is provided in communicating with the media and the wider community.

Researchers must ensure that they maintain the confidentiality of any information to which they have been given access on a confidential basis and that consent and/or removal of any identifiers or sensitive information is in place prior to publication.

When discussing the outcomes of a research project, special care should be taken to explain the status of the project — for example, whether it is still in progress or has been finalised.

To minimise misunderstanding about research outcomes, researchers should undertake to inform promptly those directly impacted by the research, including interested parties, before informing the popular media.

In the case of human research, potential participants in the research must be advised of any arrangements that might limit, delay or restrict the publication of the results prior to taking part in the research. Any of these arrangements must be disclosed to the Griffith University Human Research Ethics Committee at the time of application and the disclosure to participants must follow the instructions of the committee.

## 11. AUTHORSHIP

There are many ways of disseminating research findings. Formal publication of the results of research most commonly takes place in refereed academic journals or books, but this is not always the case. This section of the Code applies to all forms of dissemination of research findings, refereed and non-refereed, in any medium of communication, including conferences, public performance and public exhibition. Being named as the author of a research output is vitally important to researchers as it gives public recognition of their achievement and may also bring material reward to both the author and the author's institution.

University policy on the ownership of copyright in scholarly and creative works and on the moral rights of authors and performers under Australian copyright law is contained in the *Intellectual Property Policy*.

### 11.1 Criteria for authorship

To be named as an author, a researcher must have made a substantial scholarly contribution to the creative or scholarly work that constitutes the research output, and be able to take public responsibility for at least that part of the work they contributed. Attribution of authorship depends to some extent on the discipline and publisher policies, but in all cases, authorship must be based on substantial contributions in one or more of:

- conception and design of the research project
- analysis and interpretation of research data
- drafting or making significant parts of the creative or scholarly work or critically revising it so as to contribute significantly to the final output.

A person who qualifies as an author must not be included as an author without his or her permission. This permission should be in writing, and include a brief description of their contribution to the work. The person must give final agreement to the version to be submitted for publication and retain a record of that agreement. If an author is deceased or cannot be contacted, the publication can proceed provided that there are no grounds to believe that this person would have objected to being included as an author.

The right to authorship is not tied to position or profession; ghost, gift, or honorary authorship is unacceptable. Authorship should honestly reflect contribution to the work being published.

Acquisition of funding, the collection of data, general supervision of the research group, provision of technical assistance or materials do not, by themselves, justify authorship.

Those offered authorship should accept or decline in writing.

Sometimes the editor of a significant collective work or anthology has responsibilities analogous to those listed above for authorship and, in such cases, similar criteria apply to 'editor' as to 'author'. However, the term 'editor' should be applied only to a person who has played a significant role in the intellectual shaping of a publication.

### 11.2 Responsibilities of Griffith University

The University undertakes to:

- Uphold the criteria for authorship specified above.
- Assist 'executive/corresponding authors' to maintain records of authorship including the offers, acceptances and refusals of authorship.

### 11.3 Responsibilities of researchers

Researchers are expected to:

- Offer authorship to all people, including research trainees, who meet the criteria for authorship listed above, but only those people.
- Agree in writing on authorship of publications resulting from collaborative research projects (including with regard to future unanticipated publications) at an early stage in the project and review their agreement periodically.
- Include in the list of authors only those who have accepted authorship.

- Appoint one author to be the executive author to record authorship and manage correspondence about the work with the publisher and other interested parties. Any part of an article that is critical to its main conclusion must be the responsibility of at least one author.

Other persons who contributed to the work who are not authors should be named in the footnotes and/or in the acknowledgements (where the publisher provides for this, and in a manner consistent with the norms of the research field or discipline). An author must ensure the work of cultural advisors, reference groups, research students, research assistants and technical officers is recognised in a publication derived from research to which they have made a contribution. Individuals and organisations providing access to facilities, samples or reference collections must be fully acknowledged. Where individuals are acknowledged, their approval should be sought.

Researchers and support staff must comply with authorship criteria appropriate to their discipline, and/or according to the requirements of the journal their work is to be published in. When work involves multiple disciplines it may be necessary to reconcile conflicting requirements.

Staff and students must act with integrity in the creation, development, application and use of ideas and information. When the ideas or work of others are used, these ideas must be appropriately and accurately cited or acknowledged.

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## 12. PEER REVIEW

The term 'peer review' is used here to describe impartial and independent assessment of research by others working in the same or a related field. Peer review has a number of important roles in research and research management, in the assessment of grant applications, in selecting material for publication, in the review of performance of researchers and teams, and in the selection of staff. Peer review provides expert scrutiny of a project, and helps to maintain high standards and encourage accurate, thorough and credible research reporting.

### 12.1 Responsibilities of Griffith University

The University undertakes to encourage and support researchers to participate in the peer review process.

### 12.2 Responsibilities of researchers

Researchers are encouraged to:

- submit their work to peer review
- contribute to peer review processes
- conduct peer review responsibly and in good faith. This requires peer reviewers to
  - be fair and timely in their review
  - keep confidential the content or outcome of any process in which they are involved
  - declare all relevant conflicts of interest
  - ensure that they are informed about, and comply with, the criteria to be applied
  - ensure that personal prejudice does not influence the peer review process and that they do not introduce considerations that are not relevant to the review criteria
  - refrain from taking undue or calculated advantage of knowledge obtained during the peer review process
  - decline to participate in peer review outside their area of expertise
  - give proper consideration to research that challenges or changes accepted ways of thinking.

Researchers should not agree to review any research for which they have a conflict of interest, or where the research is outside their area of expertise. In some circumstances, where there are limited numbers of potential reviewers with relevant expertise it may be unavoidable that a

reviewer has some conflict of interest. This should be discussed with the party seeking the peer review.

Researchers whose work is undergoing peer review must not seek to influence improperly the process or outcomes.

Supervising researchers have a responsibility to assist trainee researchers in developing the necessary skills for peer review and understanding their obligation to participate.

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## 13. CONFLICTS OF INTEREST

Refer to the University's *Conflict of Interest Policy*. Additional guidance with regard to conflicts of interest in research is provided below.

According to the Australian Code (section 7), a conflict of interest exists where there is a divergence between the individual interests of a person and their professional responsibilities such that an independent observer might reasonably conclude that the professional actions of that person are unduly influenced by their own interests.

Conflicts of interest in the research area occur frequently and it is important that they are disclosed and dealt with properly. Conflicts of interest have the potential to compromise judgments and decisions that should be made impartially and such compromise could undermine community trust in research.

Conflicts of interest don't necessarily invalidate a research project, but if they are not identified, disclosed and managed they can result in participants, stakeholders, editors, readers and others feeling misled or deceived. Unaddressed conflicts can also seriously undermine the reputation of researchers and the University, and diminish community support for research endeavours in general. For this reason Griffith University has established policies, resources and arrangements with regard to the identification, disclosure and address of conflicts of interest in research.

It is important to recognise that real or perceived opportunities to give preference to personal interests may routinely arise from competing obligations and can be other than financial.

Some examples are:

- Situations in which financial or other personal considerations may compromise, or may have the appearance of compromising, an investigator's professional judgment in conducting or reporting research. The bias can affect collection, analysis, and interpretation of data, hiring of staff, procurement of materials, sharing of results, choice of protocol, and the use of statistical methods.
- In the peer review and publication process, a conflict of interest may arise where an author, reviewer, or editor allows personal conviction, financial interests, or personal relationships (of amity or enmity) to influence the work improperly.

In the case of human research the correct identification, disclosure and management of conflicts of interest are key ethical considerations. Consequently the presence, and measures to manage, conflicts of interest will be an important element of the ethical review of a human research project. For human research further guidance on identifying and managing conflicts of interest is found in the Griffith University Research Ethics Manual.

University staff engaging in contract research are also governed by the Consultancy and Commercial Research.

### 13.1 Responsibilities of Griffith University

The University undertakes to:

- develop guidelines to assist researchers in identifying potential conflicts of interest
- develop procedures to assist researchers and University managers in disclosing, evaluating and managing conflicts of interest
- promote awareness of its policies, procedures and guidelines relating to conflicts of interest in research and make relevant documents readily available to researchers

- ensure that negotiations around contract or sponsored research include matters of conflicts of interest, their disclosure and management.

### 13.2 Responsibilities of researchers

The responsibility for managing a conflict of interest rests, in the first instance, with the individual. Researchers and those who facilitate research and research funding should assess their own situation to ascertain if a conflict of interest exists whenever there is potential for a perceived or actual conflict of interest. Researchers are expected to:

- be alert to the presence/emergence of conflicts of interest (perceived or actual).
- make full disclosure as soon as reasonably practical of a conflict of interest or of circumstances that might give rise to a perceived or potential conflict of interest to affected parties and when submitting the research output for publication and dissemination.
- Disclose at the point of proposing research (for example, in a grant application), any conflict of interest which has the potential to influence research and investigations, publication and media reports, grant applications, applications for appointment and promotion, or research commercialisation.

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## 14. COLLABORATIVE RESEARCH ACROSS INSTITUTIONS

'Collaborative research' as used in this Code means research conducted under the auspices of Griffith University and also under the auspices of another independent party. The other party may be a person or organisation. Some examples are:

- A Griffith researcher works informally with a colleague at another university in Australia or overseas.
- A Griffith researcher works jointly with a freelance researcher with no organisational affiliation.
- Formal agreements between the University and other research institutions in Australia or overseas to work jointly on a research project.
- Formal agreements between the University and industry partners to work jointly on a research project.

Collaborative research raises specific issues, such as sharing intellectual property, managing research findings, rights to authorship, managing conflicts of interest, commercialising research outcomes, and the possibility of conflicting attitudes and values in the conduct of research. Griffith University researchers should make every effort to comply with this Code when working with researchers from other organisations. It is highly likely that Australian universities and research institutions will have codes of conduct for research that are consistent with both this Code and the *Australian Code*. However, research practices may differ between countries.

For human research guidance on ethical clearance in collaborative projects is found in [Booklet 8 of the Griffith University Research Ethics Manual](#).

Investigators must notify the Animal Ethics Committee in writing if they are involved in collaborative studies using animals at another institution, or if they are named in an application to the Animal Ethics Committee of another institution. For projects involving more than one institution and/or Animal Ethics Committee please refer to the [Ratification of projects approved by other Animal Ethics Committees](#) for further information on the process regarding this type of submission.

### 14.1 Responsibilities of Griffith University

The University undertakes to:

- Facilitate collaborative research.
- Ensure that formal University agreements with other parties to undertake collaborative research include a commitment by all parties to follow the general principles of the *Australian Code* or the *Griffith University Code* or another code that is consistent with these.
- Ensure that formal University agreements with other parties to undertake collaborative research include the following matters:

- Conflicts of interest
- Intellectual property
- Confidentiality
- Sharing commercial returns
- Responsibility for ethics clearance
- Responsibility for safety clearances
- Reporting to appropriate agencies
- Protocols for publishing disseminating research outcomes
- Management and retention of research data and primary materials.
- Provide guidance to researchers in informal collaborations on protecting their interests and those of the University.

#### 14.2 Responsibilities of researchers

Researchers involved in collaborative research with a formal University agreement are expected to:

- Inform themselves of University policies and agreements affecting the project
- Inform researchers who join the project of University policies and agreements affecting the project
- Comply with University policies and agreements affecting the project.

Researchers involved in collaborative research with no formal University agreement are expected to:

- Comply with the general principles of the *Australian Code* or the *Griffith University Code* or another code that is consistent with these.

They are encouraged to reach agreement with collaborators on the following matters: intellectual property, confidentiality, sharing commercial returns, responsibility for ethics clearance, responsibility for safety clearances, reporting to appropriate agencies, protocols for publishing and disseminating research outcomes, and management and retention of research data and primary materials. They are also encouraged to seek guidance on the need for a formal University agreement from senior colleagues, Legal Services Unit, or the Office for Research as appropriate.

## 15. RESEARCH INTEGRITY ADVISORS

The University has appointed a [network of experienced researchers to act as Research Integrity Advisors](#). *Guidelines on the Appointment, Role and Responsibilities of Research Integrity Advisors* provide further detail about the role.

Research Integrity Advisors are people with research experience, wisdom, analytical skills, empathy, knowledge of the institution's policy and management structure, and familiarity with the accepted practices in research.

Griffith University researchers may seek advice from any Research Integrity Advisor and are not limited to an advisor in a particular Element or Group. In some cases, meeting an advisor from another Element may be more appropriate.

Research Integrity Advisors can provide advice on good research practices, and the application of The Griffith University Code.

Research Integrity Advisors can provide advice about inappropriate research practices and the process of making an allegation of a possible breach or possible research misconduct.

If an allegation of a breach/research misconduct is made (see section 16 of the *Griffith University Code*), a Research Integrity Advisor must declare their involvement as an advisor to the Manager Research Ethics and Integrity.

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## 16. RESEARCH MISCONDUCT

The University will use of Part B of the *Australian Code* to identify research misconduct however once identified further investigations will be carried out in accordance with the relevant Staff Enterprise Agreement in the case of staff or student misconduct policies for students.

According to Section 10 of the *Australian Code* a complaint or allegation relates to research misconduct if it involves all of the following:

- 1) a breach of the *Australian Code for the Responsible Conduct of Research*;
- 2) intent and deliberation, or recklessness or gross and persistent negligence; and
- 3) serious consequences; examples of which include false information on the public record, adverse effects on research participants, animals or the environment, and adverse effects on other researchers, students, staff or the University's reputation.

Examples of research misconduct may include:

- fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research;
- failure to declare or manage a serious conflict of interest;
- failure to follow research protocols as approved by a research ethics committee, or other approving authority, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment;
- repeated or continuing breaches of this Code, especially where these have been the subject of previous counselling or direction;
- willful concealment or facilitation of research misconduct by others;
- making a mischievous or vexatious allegation about Research Misconduct, especially when the vexatious allegation could impact negatively and seriously on the reputation of the target of the allegation and/or bring the University into disrepute.

Procedures for dealing with allegations of misconduct in research in relation to staff are set out in section 40 of the *Griffith University Academic Staff Enterprise Agreement 2012-2016*.

Procedures for dealing with allegations of misconduct in research by Higher Degree Research (HDR) students are set out in the *Academic Misconduct Policy – Higher Degree Research Candidates*.

Procedures for dealing with allegations of misconduct in research against other students are dealt with in the *Student Misconduct Policy*.