Nation

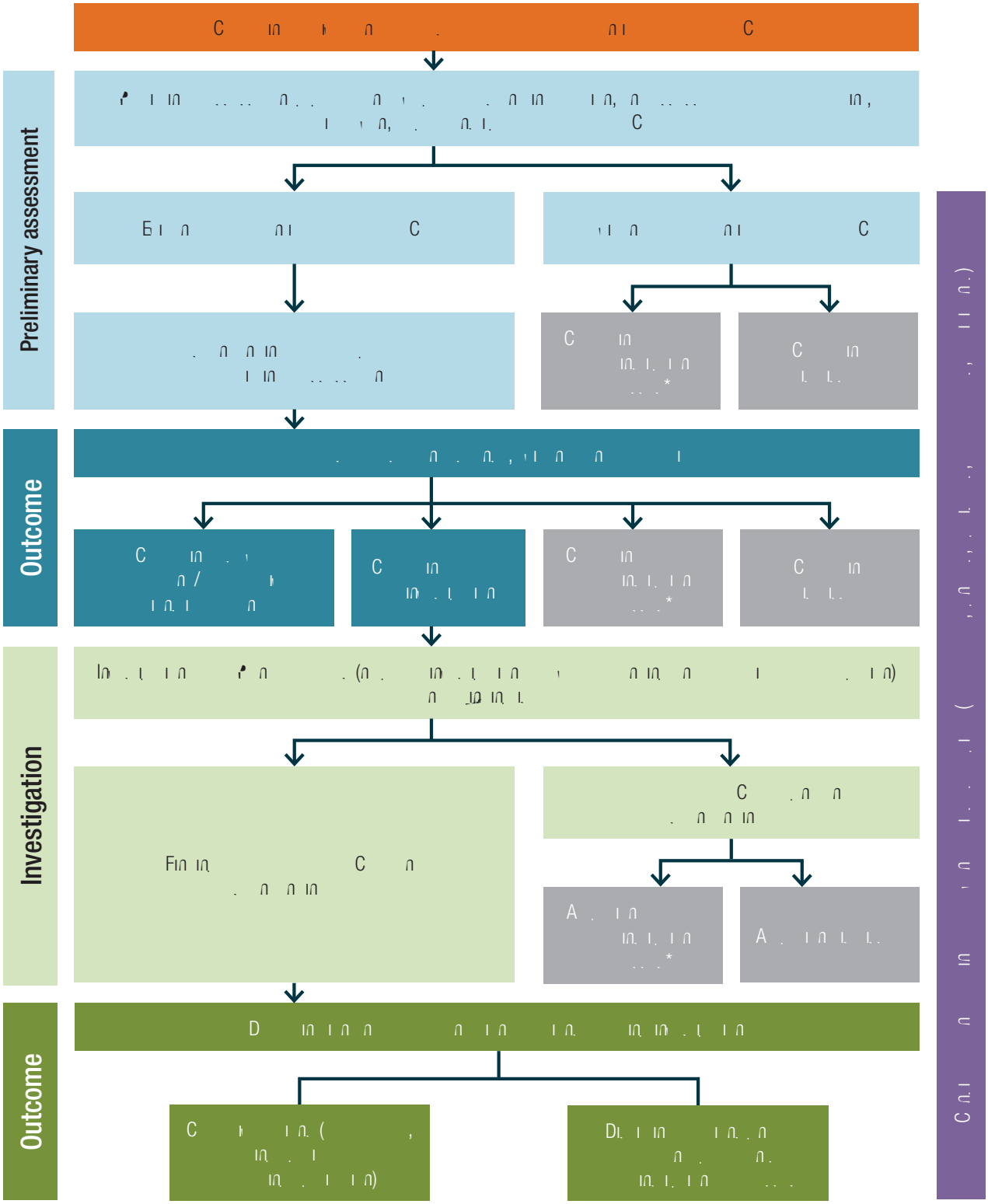
Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research

2018

Table of Contents

Abbreviations used in this document

Abbreviation	Term
A	A . . . n
A C	A . I n . C . n I
A IC	A . I n . In . I C I
D	D . I n
C	I n n I . C . n I
IA	. In . I A I .
I	. In . I
E	. n . I E . I
	I
JA	Jn . I I . A . I



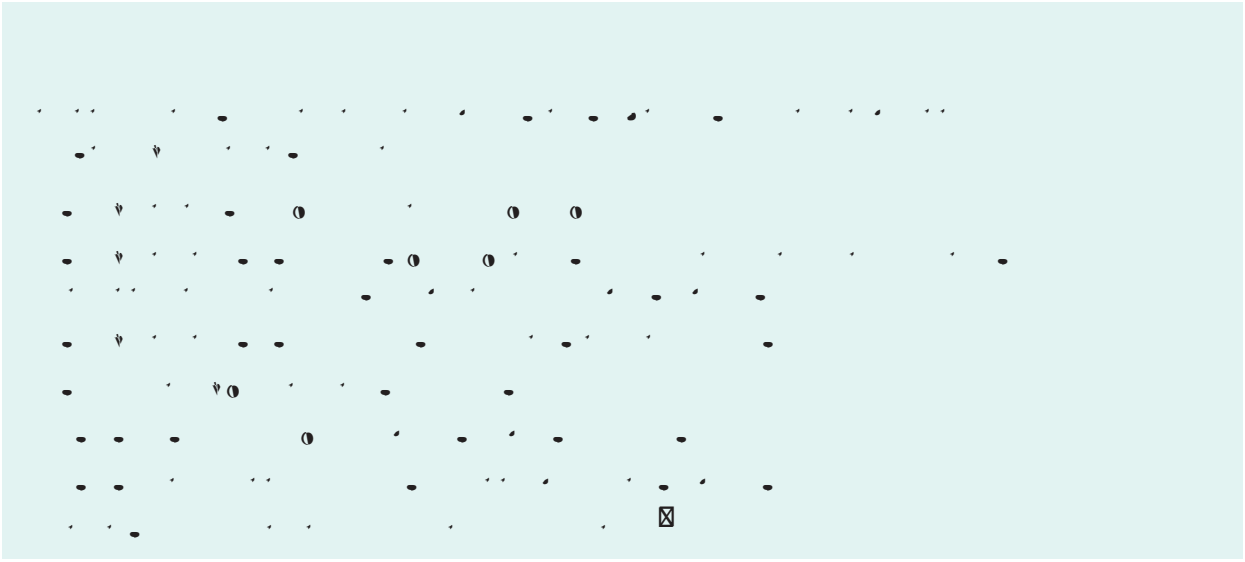
The initial receipt of the complaint is discussed in Section 5. If it is decided that the complaint relates to a potential breach of the Code, a preliminary assessment (Section 6) and investigation (Section 7) may ensue. A complaint may require immediate action, e.g. if there is a risk of harm to humans, animals or the environment (Section 8.3). The institutional roles involved in the preliminary assessment and investigation are summarised in Tables 4 and 5. Consideration of the need to inform relevant parties may be required at any stage of managing and investigating a potential breach of the Code (purple box).

*Other institutional processes may include those in enterprise agreements.

2 Breaches of the Code

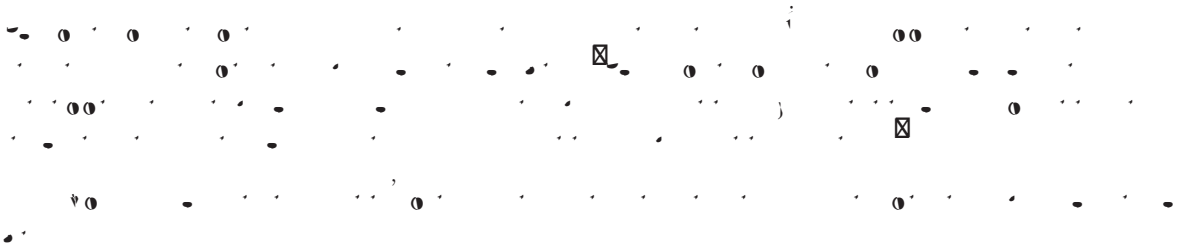
2.1 Definition of breach

vi.

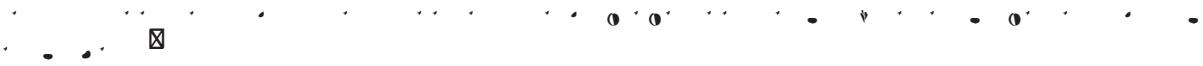


2.3 Guidance on using the term research misconduct

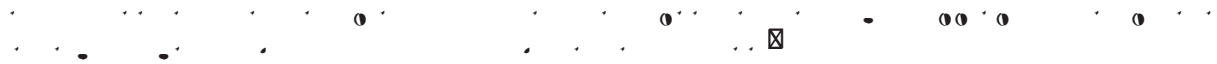
3 Principles of procedural fairness



i. Proportional



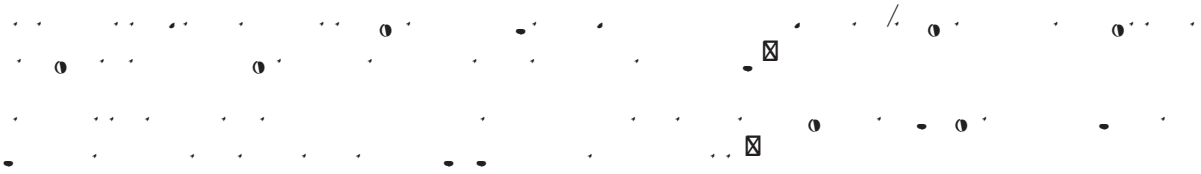
ii. Fair



iii. Impartial

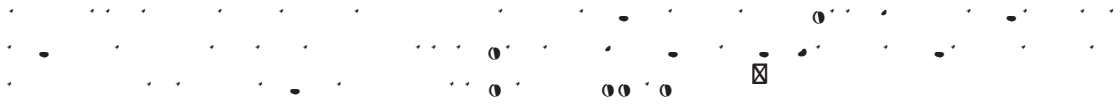
iv. Timely

v. Transparent

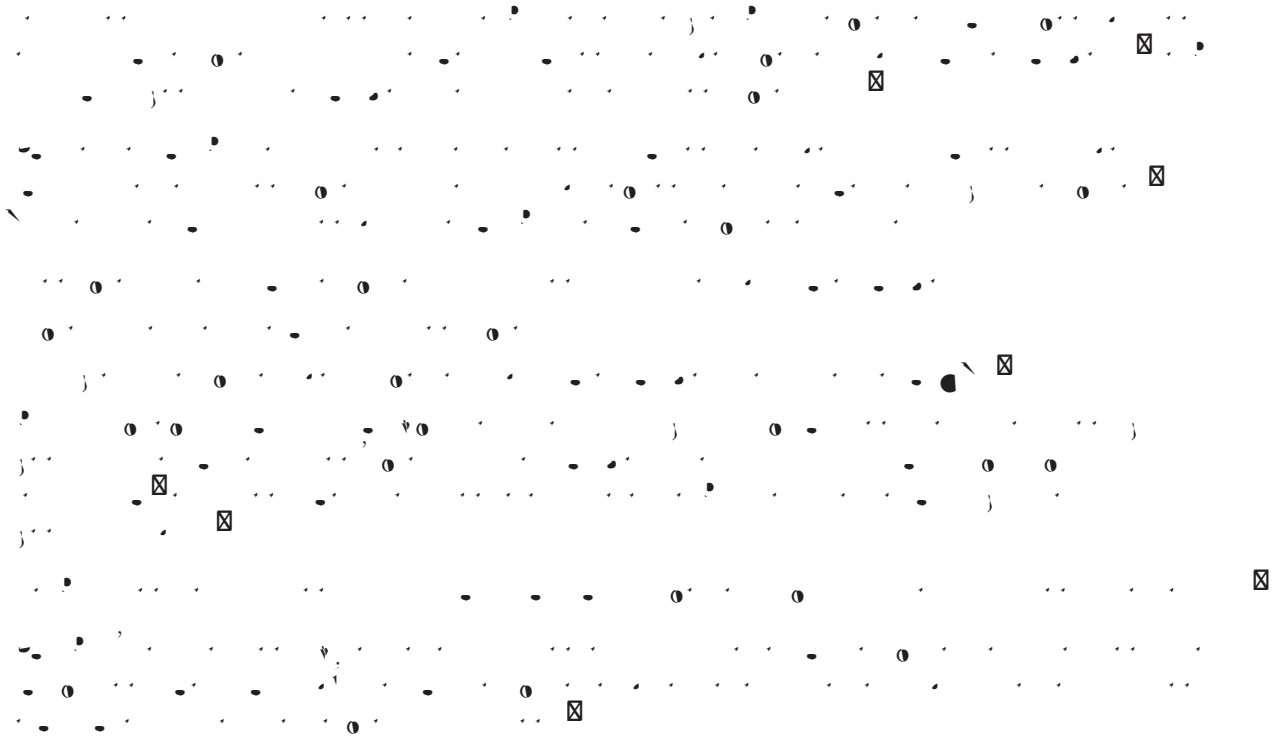


vi. Confidential

4 Institutional roles



4.1 Research integrity advisors (RIAs)



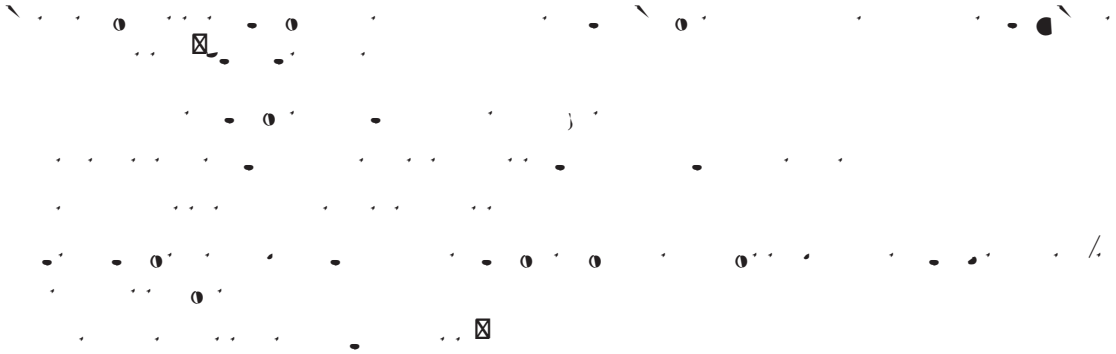
4.2 Research integrity office (RIO)

5 Consideration and management of complaints

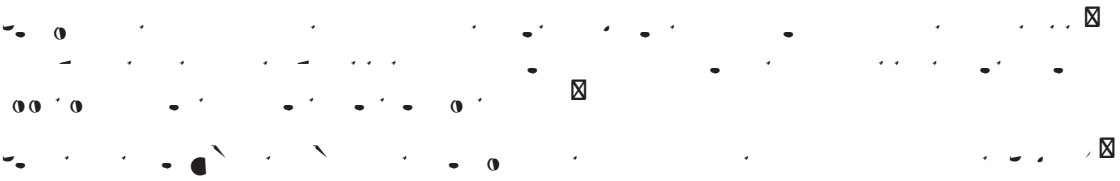
5.1 Overview of receiving and considering complaints

6 Preliminary assessment stage

6.3 Outcomes from the preliminary assessment



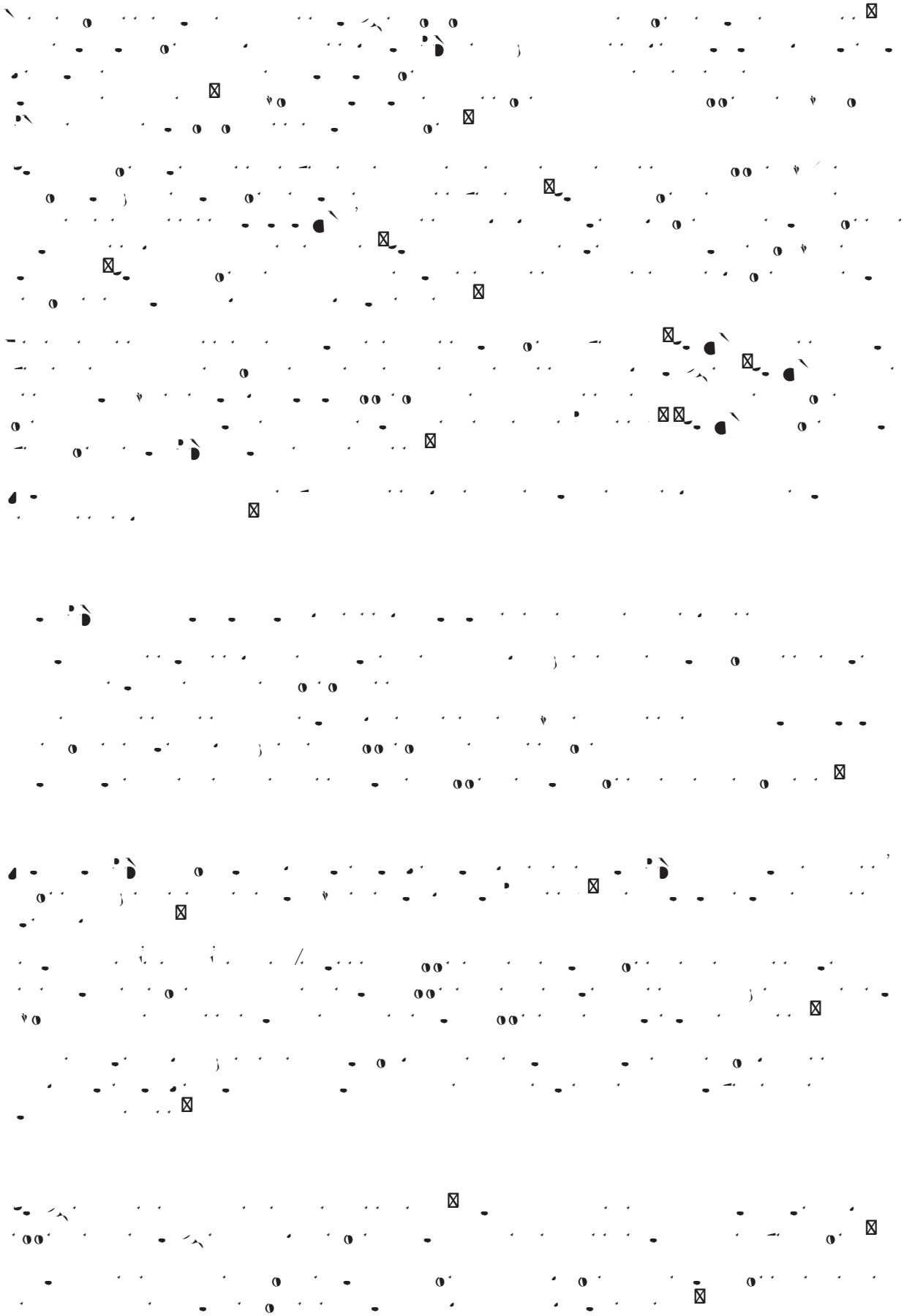
6.4 Summary



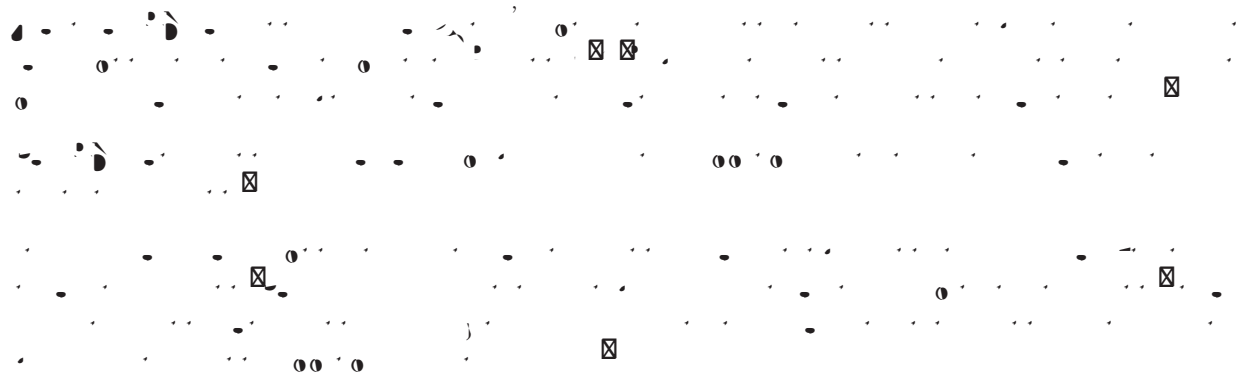
	Role	Functions
Preliminary assessment	D . . . n . . . (D)	' A . . . n . . . . . . A ' . . . . . n ' D . . . . . n n . . . . n, ... n n . . . . n, n . . . . n . . . (n . . n . . . . n), ...
	A . . . n . . . (A)	' C n . . . . n . . . n ' C n . . . . D , . n n . . . . n . . n ' . . . . . n n n . . . . n . . . .
		. . . . n ' n . . . . ' . . . . D

7

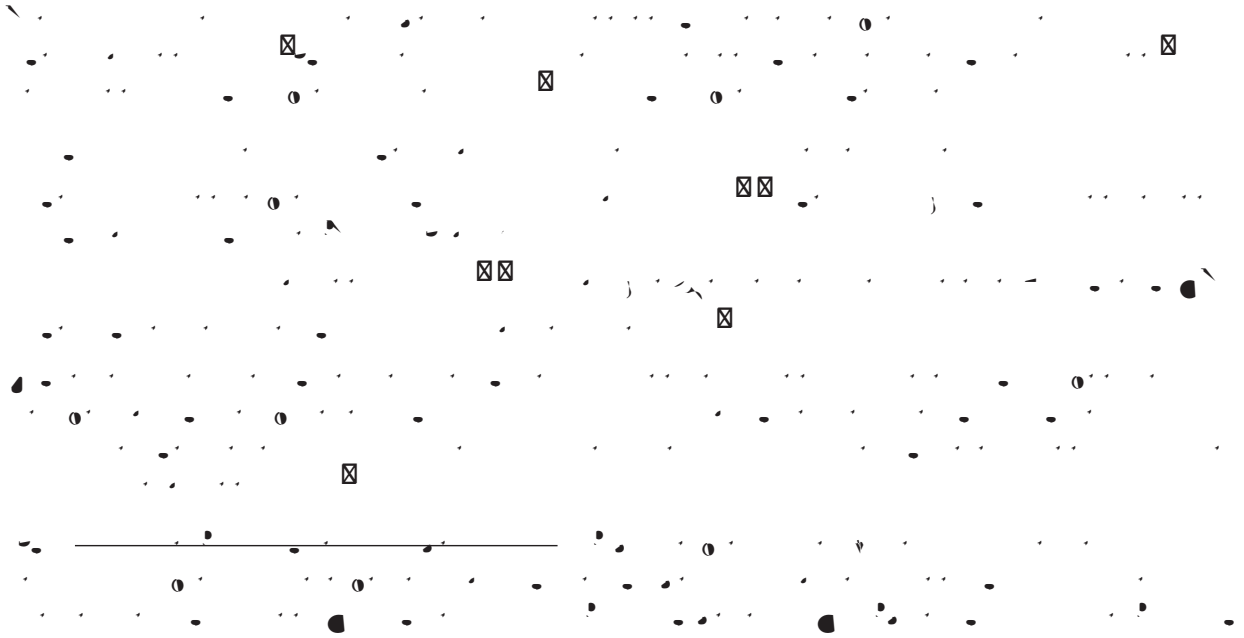
7.6 Outcomes from the investigation



7.7 Communicating the findings



7.8 Mechanisms for review of a Code investigation



7.9 Summary

Note: O f cers must adhere to the principles

	Role	Functions
Investigation	D . (n (D)	' E . . n ' I n . ' n (n . n C .) ' n . n . (. n n n . E
	. n . . (.)	' n . . . n . n n n . (. n, n . . n n ' ' . ' n n n . n n ' E n . . ' n . n n . . n ' . . . n . . ' . . n . n / n . , n . n . n 7 (. E . 2 . n . . n ') 5 5 . (. n 6) / CID 50 BDC

8 Additional considerations

8.1 Collaborative research across multiple institutions

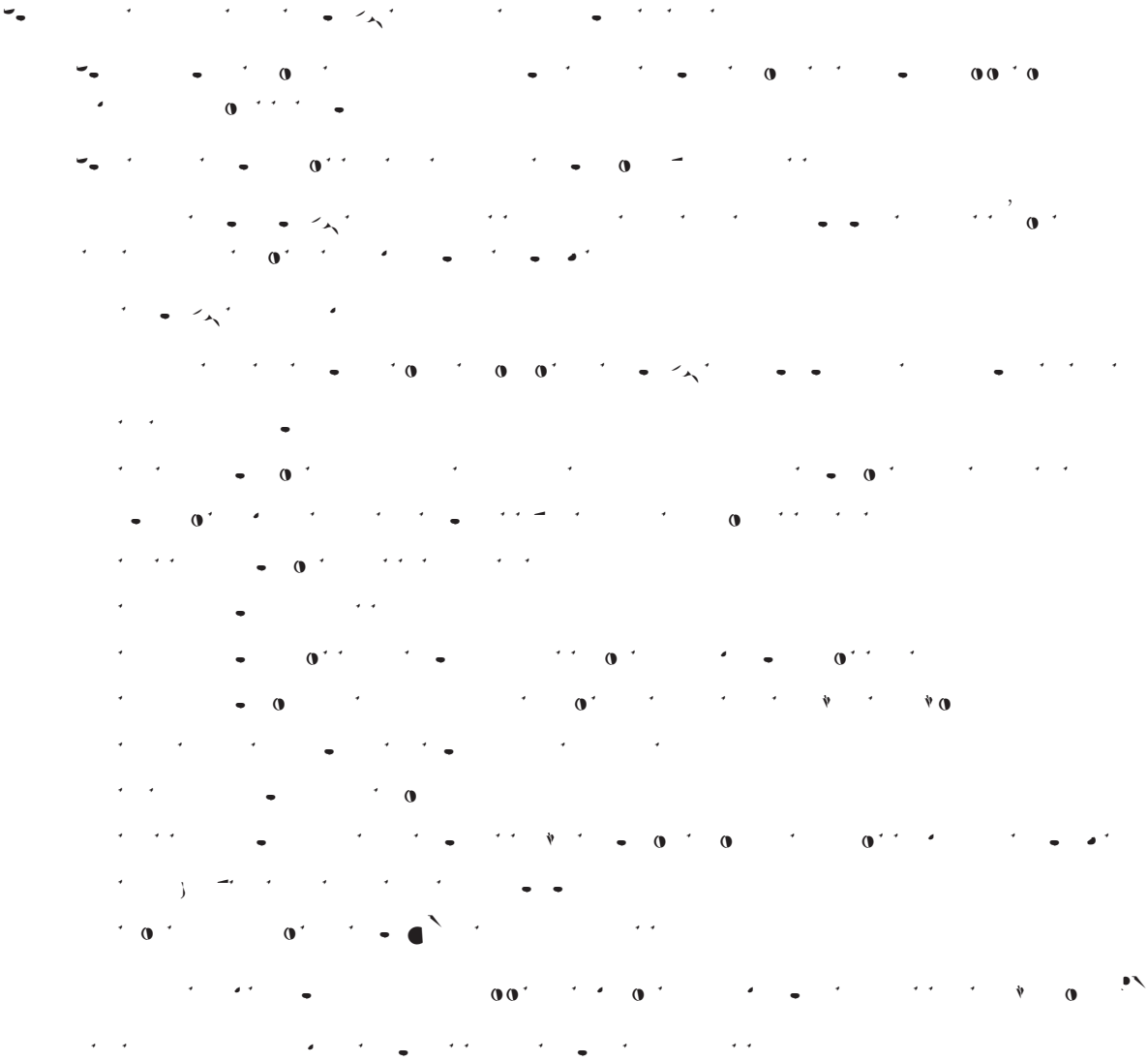
9 Terms used in this Guide

Term	Definition
A . I n	A I .. I n I. I n I n . . . n . n . . n . I n C . . . . I n . I n . I . I n . .
A . . . n I r (A)	A . n . n . I n n I n . I . I n n . I n . . . . n I n . . .
B n I I I .	I I . n , I . I . , n I n , I I . n n . . .
B	A I . I n I . n . n . I I I I . C . I n . I . .
C	*Au t.ralian C de f .r the Re n ible C nduct f Re ea.ch.*
C I n n	A . n . n . . I n . n .
C n , I I n .	A n , I I n . I . . I n . I . I n n I n n n . n I . n n . . I n I n . . n I n . . . I . I n , n I . n , I n . .
C I n .	. I n . I n . . I I n . , I n I n , . n . I n n . . I I n . .
D . I n I r (D)	A . n I . . I n I n . I . I n I r I r . I n I n . . n . n I . C n . I n . n n E I n n 5276 n (A . I n C .) - n 62.72 n / n 50.72 . I . . 5276 (.) E E C
E I n	A n . n B 5672 .7 (01020 BDC 0/ n (n)/ CID 105 BDC B 1 n I I I n - I

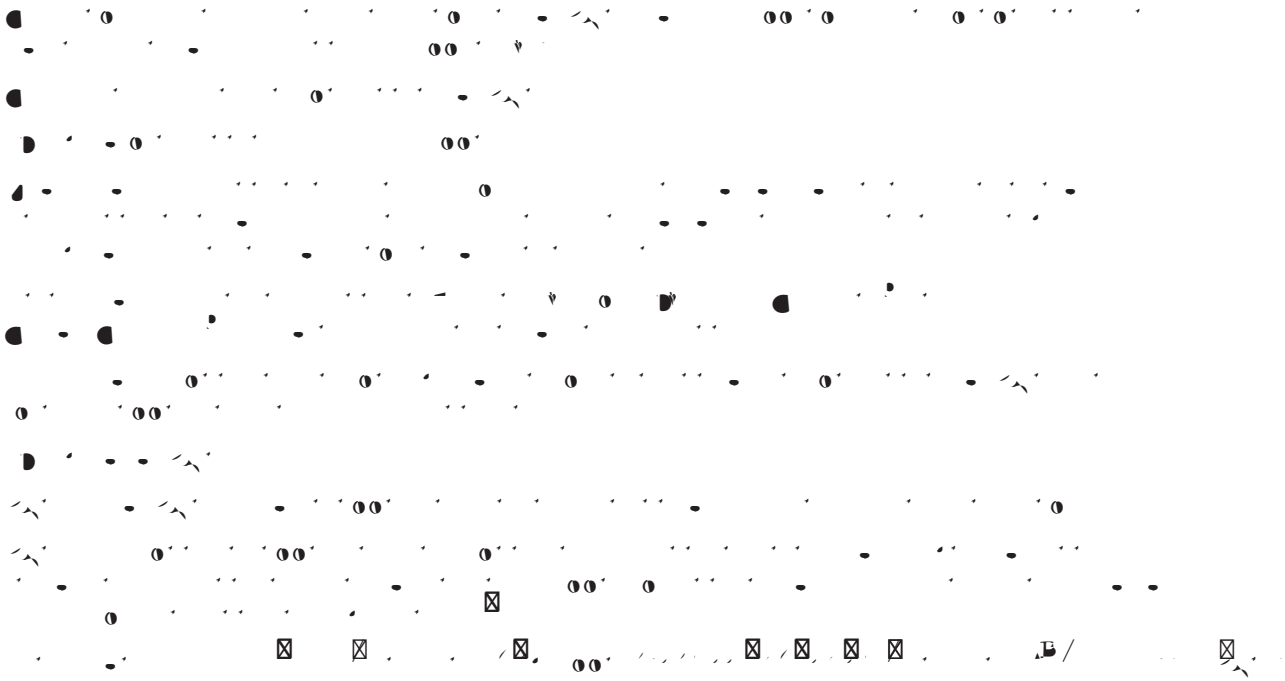
Term	Definition

Appendix 1:

Appendix 2: Sample checklist for the terms of reference for the Panel



Appendix 3: Sample checklist for the investigation procedure



Appendix 4: Sample checklist for reporting the findings of the investigation

Member	Position	Period
[illegible]	E [illegible] D [illegible], C [illegible] In[illegible] [illegible] F[illegible], [illegible] [illegible] Jan[illegible] [illegible]	A [illegible] 2015 A[illegible] 2017
D [illegible]	D[illegible], [illegible] E[illegible] [illegible] In[illegible], [illegible] Jan[illegible]	A [illegible] 2015 D 2017
[illegible]	D[illegible] [illegible] E[illegible], [illegible] [illegible] [illegible] Jan[illegible] [illegible]	D 2016 D 2017