



Responsible Conduct of Research Policy

1. STRATEGIC PLAN THEME AND COMPLIANCE OBLIGATION SUPPORTED

Strategic Plan Theme: [Research and Innovation](#)
[Australian Code for the Responsible Conduct of Research](#)

2. PURPOSE

To describe the principles for the responsible conduct of research, and the consequences of failing to follow those principles.

3. POLICY STATEMENT

This policy is based on and will be read in conjunction with The Australian Code for the Responsible Conduct of Research (**The Code**) and the *Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research*.

- 3.1. Researchers will comply with the research standards as set out by The Code.
- 3.2. The Code sets out research standards through the principles of responsible research conduct and the responsibilities of Curtin University and researchers. Where the researcher is a student at this university *Statute No. 10 – Student Discipline* and the associated rules also apply.
- 3.3. If undertaking research at a Curtin global campus, or research in another non-Australian location, researchers will also comply with that country's research code. Where there is a difference in standards, researchers will comply with the higher standard.
- 3.4. Breaches of The Code
 - 3.4.1 A breach of The Code is defined as "a failure to meet the principles and responsibilities of the Code, and may refer to a single breach or multiple breaches".
 - 3.4.2 Breaches of The Code occur on a spectrum from minor/less serious to major/more serious/repeated breaches.
 - 3.4.3 Breaches of The Code include, but are not limited to, the following:
 - Not meeting required research standards
 - Failure to obtain ethics approval, or conduct research in accordance with ethics approval
 - Failure to obtain necessary permits, licences, agreements or approvals to conduct research
 - Fabrication, falsification, misrepresentation
 - Plagiarism, including duplicate publication and self-plagiarism
 - Failure to appropriately maintain research records
 - Inappropriate destruction of research records, research data and/or source material
 - Inappropriate disclosure of, or access to, research records, research data and/or source material
 - Failure to provide adequate supervision
 - Failure by a supervisor to provide adequate guidance or mentorship on the responsible conduct of research to researchers for research trainees under their supervision
 - Failure to acknowledge the contributions of others fairly

- Misleading ascription of authorship including failure to offer authorship to those who qualify or awarding authorship to those who do not meet the requirements
 - Failure to disclose conflicts of interest
 - Failure to conduct peer review responsibly
- 3.4.4 The seriousness of a breach is based on a number factors including:
- the extent of the departure from accepted practice
 - the extent to which research participants, the wider community, animals and the environment are, or may have been, affected by the breach
 - the extent to which it affects the trustworthiness of research
 - the extent of which the breach affects the public interest function of research
 - the level of experience of the researcher
 - whether there are repeated breaches by the researcher
 - whether institutional failures have contributed to the breach
 - any other mitigating or aggravating circumstances
- 3.4.5 Potential breaches of The Code will be reported and dealt with in accordance with the *Responsible Conduct of Research Procedures* for staff and *Statute No. 10 – Student Discipline* for students.
- 3.4.6 Breaches of The Code may be considered misconduct or serious misconduct for staff as described in the *Curtin University Academic, Professional and General Staff Enterprise Agreement*, or misconduct for students as described in *Statute No. 10 – Student Discipline* for students.

4. SCOPE OF POLICY

This policy applies to all staff, adjuncts, associates and students in any location or campus, whether in or outside of Australia.

5. DEFINITIONS

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

The Code

The Code refers to the Australian Code for the Responsible Conduct of Research and all associated Guides.

Breach of the Code

Is a failure to meet the principles and responsibilities of the Code or associated Guides, and may refer to a single breach or multiple breaches (as defined per The Australian Code for the Responsible Conduct of Research).

Curtin University Academic, Professional and General Staff Enterprise Agreement

This refers to Curtin University Academic, Professional and General Staff Enterprise Agreement 2017-2021 as amended or replaced from time to time.

6. SUPPORTING PROCEDURES

[Responsible Conduct of Research Procedures](#)

7. RELATED DOCUMENTS/LINKS

Internal

[Curtin University Academic, Professional and General Staff Enterprise Agreement 2017-2021](#)

[Curtin Code of Conduct](#)

[Responsible Conduct of Research Procedures](#)

[Statute No. 10 – Student Discipline](#)

External

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

[Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#)

[Singapore Statement](#)

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Approval Authority	Academic Board
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REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
New	Approved	28/08/2015	Academic Board	AB 135/15	Attachment D to Item 14.3
	Administratively Updated	06/10/2015	Director, Legal and Compliance Services	EC 76/15	Executive Manager Title Changes
	Approved	4/12/2020	Academic Board	AB 218/20	Attachment E to Item 14.2, effective 1 January 2021.