

RESPONSIBLE CONDUCT OF RESEARCH POLICY

SCOPE

This policy applies to:

- all Monash University staff, including adjuncts, who are engaged in research for and/or on behalf of Monash University;
- all Monash University students, including past students, who engage in, or have engaged in, research and graduate research as part of their student enrolment;
- all affiliates undertaking research controlled by Monash University;
- all former Monash University staff who have been engaged in activities in any way connected with conduct that is the subject of, or related to the subject of, an allegation of misconduct or investigation of a breach of the [Australian Code for the Responsible Conduct of Research 2018](#); and,
- all persons, including adjuncts or affiliates, engaged in research under the auspices of, or in the name of, Monash University including but not limited to research that is conducted in conjunction with another entity whether in the public or private sectors and whether such entity be a University, research institute, a private research entity or endeavour, or otherwise.

For the purpose of this policy, references to 'the University' include activity at Monash University Australia, Monash University Malaysia, Monash University Indonesia, Monash Suzhou, the Monash Suzhou Research Institute, the IITB-Monash Research Academy, and the World Mosquito Program Ltd (including its subsidiaries), unless indicated otherwise.

POLICY STATEMENT

This policy articulates the University's commitment to and adoption of the [Australian Code for the Responsible Conduct of Research 2018](#) (the Code), and sets out its overarching framework for the responsible conduct of research.

The University is committed to excellence in research and scholarship, leading the global community with a research-intensive, international focus to address important challenges in society. In pursuing these objectives, the University is committed to the highest standards of the responsible conduct of research. The University's expectations of researchers is predicated on the Code and this policy should be read in conjunction with the Code's provisions, and requirements of all applicable laws, regulations, policies and standards.

1. General Principles

- 1.1 When undertaking research on behalf of the University, researchers must act in accordance with the 'Principles of responsible research conduct' outlined in the Code. All research activity must:
 - be conducted with honesty and rigour, promoting responsible research practices and good stewardship of public resources;
 - include transparent reporting, appropriate acknowledgement of others involved in research and accurate referencing;
 - be fair and respectful of all individuals, animals and the environment involved in research activities;
 - disclose and manage any perceived or actual conflict of interest; and,
 - recognise the right of Indigenous Australian peoples to be engaged in research that affects or has particular significance to them.
- 1.2 Researchers must adhere to all applicable laws, regulations, standards, ethics guidelines, funding agreements and University policies for the responsible conduct of research, including but not limited to the:
 - [Australian Code for the Responsible Conduct of Research \(2018\)](#) and its supporting guides;
 - [National Statement on Ethical Conduct in Human Research](#);
 - [Australian Code for the Care and Use of Animals for Scientific Purposes](#); and,
 - [Ethical Conduct in Research with Aboriginal and Torres Strait Islander People and Communities: Guidelines for Researchers and Stakeholders](#).

2. Responsibilities of researchers

- 2.1 All researchers must maintain and promote the highest standards of responsible research in supporting a culture of responsible research endeavours both at the University and in their field of practice.
- 2.2 The specific responsibilities of individual researchers under the Code is determined by their relationship to the University, set out as follows:
- 2.2.1 All University staff, students and adjuncts must act in accordance with all sections of the Code; and
- 2.2.2 Any affiliates and/or collaborators must act in accordance with the 'responsibilities for researchers' section of the Code. Where reference is made to institutional policy, legislation or mandated clearances, these are considered to be those of the home institution or jurisdiction of the affiliate/collaborator.

Disclosure of interests

- 2.3 When applying for, and accepting research funding, and when conducting and publishing research, any actual, potential or perceived conflicts of interest must be disclosed and managed by researchers, in accordance with any directions provided by the University and/or any external body (e.g. the funding body).
- 2.4 Staff should refer to the University's [Conflict of Interest Procedure](#) for guidance on how to identify a conflict of interest, and the appropriate action to be undertaken where interests may raise ethical or legal issues.

Approvals

- 2.5 Researchers must determine and obtain all necessary compliance and/or ethics approvals prior to conducting research, including, but not limited to, obtaining the required import/export permit(s) or approval(s) for activities that must comply with applicable laws and/or requirements for:
- 2.5.1 Export Controls and Sanctions, including the *Defence Trade Control Act 2012* (Cth) for any export and/or supply of dual use and military goods and technologies and the *Autonomous Sanctions Act 2011* (Cth), as outlined in the University's Export Controls & Sanctions Policy (forthcoming); and,
- 2.5.2 Where research involves human or animal subjects, researchers must obtain the requisite ethics approval in accordance with the University's [Ethical Research and Approvals: Human Research Ethics Committee Procedure](#), [Ethical Research and Approvals: Research Involving Human Participants Procedure](#) and/or, [Ethical Research and Approvals: Scientific Activities Involving Animals Procedure](#).
- 2.5.3 Where research involves the use of recombinant DNA technologies, researchers must obtain the requisite approval from the University's Institutional Biosafety Committee in accordance with the [Activities Involving Genetically Modified Organisms Procedure](#) and may only undertake the research in facilities included in such approvals.
- 2.5.4 The importation of biological material is subject to the Biosecurity Act 2015. All importation of biological materials for research purposes will require an import permit and must be coordinated through the Monash Research Office.
- 2.6 Researchers must adhere to all applicable approval and/or permit conditions when undertaking their research.

Undertaking research

- 2.7 The use of resources and expenditure for research activities must be utilised efficiently, with good judgement and represent value for money for funders and for the University.
- 2.8 When undertaking research involving animals, the 3Rs (Replacement, Reduction and Refinement) must be considered to minimise the impact on animals used in research and to support animal welfare and wellbeing. Researchers should refer to the Research Involving [Human Participants Procedure](#) and the [Scientific Activities Involving Animals Procedure](#) for information on ethical research and approvals requirements.

Data management and collection

- 2.9 Research data and records (data) must be stored securely and be accurate, complete and enable verification of research results and/or to reflect relevant communications, decisions or actions.
- 2.10 Data must be retained in accordance with the University's [Recordkeeping Policy](#) for the prescribed minimum retention period and/or in accordance with any funding, sponsorship retention periods. For more information on managing data ownership, storage, retention and access requirements, researchers should refer to the University's [Research Data Management Policy](#) and the [Data Protection & Privacy Procedure](#).

Research findings and dissemination

- 2.11 The reporting of research activities and findings will be accurate, and findings disseminated broadly and responsibly.
- 2.11.1 If an error in research findings and/or reporting is identified, the public record must be corrected in a timely manner.
- 2.11.2 When promoting their research or commenting on the research of others in social media, researchers may also refer to the University's [Media & Social Media Policy](#) for further information.
- 2.12 Research publications must be undertaken in accordance with all applicable laws, including applicable requirements for intellectual property, confidentiality and/or privacy.
- 2.13 Researchers must accurately and appropriately acknowledge those who have contributed to and supported the research project. All relevant work must be appropriately cited when disseminating research findings. Researchers should refer to the University's [Research Authorship and Attribution Procedure](#) for more information on the requirements and their responsibilities for accurate authorship and attribution activities.
- 2.14 All peer reviews undertaken by University staff will be conducted in a fair, rigorous and transparent manner.
- 2.15 Research outputs must be correctly identified and classified for submission to external research assessment exercises and/or internal reporting purposes, as for example, the assessment of a researcher's performance and for academic promotion. Refer to the [Research Outputs Data Collection Policy](#) and [Procedure](#) for more information.

3. Supporting the responsible conduct of research

- 3.1 The University is committed to enabling a culture of responsible conduct of research by implementing and maintaining effective governance and management practices to ensure institutional practices are aligned with the Code.
- 3.2 The University will support researchers, staff and students to conduct responsible research practices through the provision of research integrity training and of a network of [Research Integrity Advisors](#).
- 3.3 The University implements and maintains effective governance and management practices for responsible research conduct that is consistent with the Code, including:
- providing mechanisms to educate and inform the research community about the University's expectations for undertaking research;
 - prescribed approval pathways and requirements for researchers to complete necessary University approval(s) prior to commencing any research activities;
 - formal review processes and review committees to oversee compliance with legislative or regulatory requirements, disciplinary standards, ethics guidelines, community expectations and the University's policies and procedures;
 - ensuring all supervisors have the appropriate skills, qualifications and resources to support researchers, including supervisors of graduate research students;
 - supporting the University's Research Integrity Advisors to assist with fostering the responsible conduct of research;
 - providing access to facilities, infrastructure and platforms for the safe and secure storage and management of research data and primary materials, e.g. as set out in the University's [Controlled Environments Procedure](#); and
 - the process for the reporting of suspected breaches of the Code as set out in the [Responsible Conduct of Research: Procedure for Investigating Code Breaches](#).
- 3.4 The MRO is responsible for supporting and overseeing that research undertaken at the University is carried out with the highest integrity, honesty and transparency.
- 3.5 The University Library supports researchers with the retention of research data and information management in accordance with applicable laws, standards, and University policies and procedures.
- 3.6 The Deputy Vice-Chancellor (Research) and the Pro Vice-Chancellor (Research) have ultimate authority and accountability for implementing and maintaining the highest standards of integrity and compliance of research undertaken for and/or on behalf of the University.
- ## 4. Research funding
- 4.1 The University will support researchers when applying for and obtaining external research funding. When applying for funding, researchers must adhere to the requirements set out in the University's [Research Costing and Research Pricing Policy](#), including accurate completion of the Research Costing Methodology.

4.2 When expending research funding, researchers must demonstrate good judgement and transparency, obtain value for money and remain accountable for their expenditure.

5. Breaches, complaints and research misconduct

5.1 All complaints and alleged breaches of the Code will be handled in a confidential, fair and transparent manner, and in accordance with the Code and the University's:

- [Responsible Conduct of Research: Procedure for Investigating Code Procedures](#)
- [Enterprise Agreement](#);
- Monash University Council Regulations, Part 7 - Student discipline

DEFINITIONS

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| Adjunct | A person who is appointed to contribute their professional standing and specialist expertise to the teaching and/or research activities to the University in an adjunct, emeritus or honorary capacity. |
| Affiliates | A person from another institution, government or corporate entity invited to pursue research and scholarly activities, for a limited period, within the University. The person does not have a formal contract with the University, but may have access to University systems and resources. |
| Author | A person who has made a significant intellectual or scholarly contribution to research and its output and who has agreed to be listed as an author. |
| Co-author | A person who collaborates with one or more authors in the production of a research output. |
| Executive Author | The author who, as agreed by all co-authors, is responsible for communication between the publishers, the co-authors and maintaining records of the authorship agreement. |
| Research | The University applies the definition provided in the ARC Code for Responsible Conduct of Research: The creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative. |
| Researcher | Person (or persons) who conducts, or assists with the conduct of, research. |
| Research Integrity Adviser | A person trained to assist in the promotion and fostering of responsible research conduct, and provision of advice to those with concerns about potential breaches of the Code. |
| Research Output | A research output communicates or makes available the findings of research that may be in hardcopy, electronic or other form. Examples of research outputs include traditional types such as journal articles, book chapters, books and conference papers, reports, datasets, patents and patent applications as well as non-traditional types such as creative works, performances, videos and exhibitions. |
| Scholarly contribution | A scholarly contribution is made through at least one of the following: <ul style="list-style-type: none"> • conception and design of the research project; • acquisition, analysis or interpretation of research data, where the acquisition has required significant intellectual judgement, planning, design, or input • contribution of knowledge, where justified, including Indigenous knowledge; • drafting significant parts of the research output or critically revising it so as to contribute to its interpretation. |
| Staff | For the purposes of this policy, 'staff' means any person employed by the University on a continuing, fixed-term, casual or sessional basis, or a person seconded or contracted to perform research for the University. |

GOVERNANCE

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| Supporting procedures | Responsible Conduct of Research: Procedure for Investigating Code Breaches Activities Involving Genetically Modified Organisms Procedure Ethical Research and Approvals Procedure Research Outputs and Authorship Procedure |
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| | Controlled Environments Procedure |
| Supporting schedules | N/A |
| Associated policies | Graduate Research Student Supervision Policy Research Data Management Policy Research Outputs Data Collection Policy |
| Related legislation | <i>University legislation:</i> Monash University (Council) Regulations Part 7 Monash University (Vice-Chancellor) Regulations Part 5 <i>Australian legislation:</i> Australian Code for the Responsible Conduct of Research 2018 (Cth) Biosecurity Act 2015 (Cth) Higher Education Standards Framework 2015 (Cth) <i>Malaysian legislation:</i> Animal Welfare Act 2015 Biosafety Act 2007 Malaysian Code of Responsible Conduct in Research |
| Category | Academic |
| Approval | Academic Board 28 July 2021 MEETING 5/2021 / AGENDA ITEM 12.1 |
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