



Responsible Conduct of Research Policy

Responsible Officer	Deputy Vice-Chancellor (Research)
Approved by	Vice-Chancellor
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Relevant Legislation, Ordinance, Rule and/or Governance Level Principle	Ordinance 9 – Student Discipline Ordinance 18 – Intellectual Property Ordinance 21 – Student Behaviour and Conduct Rule 4 - Rules of Graduate Research Governance Level Principle 12 – Academic Standards Governance Level Principle 14 - Academic Freedom
Responsible Organisational Unit	Office of Research Services

CONTENTS

1	Objective.....	2
2	Scope	2
3	Policy Provisions.....	2
3.1	Principles and Practices of Responsible Research.....	2
3.2	Animal Ethics.....	3
3.3	Human Ethics	3
3.4	Research involving Aboriginal and Torres Strait Islander Peoples	4
3.5	Respect for the Environment	4
3.6	Management of Research Data and Primary Materials.....	4
3.7	Supervision of Research Trainees.....	5
3.8	Publication and Dissemination of Research Findings.....	6
3.9	Authorship	6
3.10	Peer Review	7
3.11	Conflicts of Interest.....	7
3.12	Collaborative Research	8
3.13	Research Integrity Advisers	9
3.14	Breaches of the Code	9
4	Definitions and Acronyms.....	9
5	Supporting Documentation.....	11
5.1	Supporting University Documentation.....	11
5.2	Related External Codes and Guidelines	12
5.3	Related Legislation	12
6	Versioning.....	12

1 Objective

The objectives of this Policy are to:

- Formally acknowledge that the University of Tasmania (the University) adopts the principles and complies with the responsibilities described in the Australian Code for the Responsible Conduct of Research, 2018 [the Code]. This policy must be read in conjunction with the Code.
- Promote a research culture of excellence, integrity and professionalism at the University.

2 Scope

This Policy applies to any person who is involved in the conduct of research under the auspices of the University, including:

- all employees of the University
- all students at the University
- adjunct, clinical and associate title holders
- visiting fellows and scholars
- its controlled entities and partnerships.

(together “University researchers”)

Research under the auspices of the University includes work:

- in which the research activity/output will be claimed for internal/external purposes through the University
- that will be identified (e.g. to potential participants, sites and in any output) as being University research
- associated with contracts, agreements, invoices or other payments that describe it as being under the auspices of the University, and/or
- covered by the University’s insurance/indemnity.

3 Policy Provisions

3.1 Principles and Practices of Responsible Research

The University adheres to and supports the principles of responsible research conduct and complies with the responsibilities of institutions described in the Code.

Heads of Academic Units or equivalent will ensure that:

- University policies, procedures, guidelines and processes are consistent with the responsibilities and principles described in the Code
- University researchers undertake relevant induction, formal training and education
- those conducting University research or supervising research trainees and students engaged in University research are adequately experienced and qualified

University researchers will:

- read and be familiar with the content of the Code
- conduct research in accordance with the principles of the Code
- comply with the responsibilities of researchers described in the Code
- support a culture of responsible research conduct at the University and in their field of practice
- provide guidance and mentorship on responsible research conduct to other researchers under their supervision and, where appropriate, monitor their conduct
- undertake and promote education and training in responsible research conduct
- conduct research in compliance with other legal or regulatory requirements, disciplinary standards, ethics guidelines, this policy and any other relevant University policy, procedure or guideline

Practical guidance and procedures about these matters are provided within the [University's Responsible Conduct of Research Framework](#).

3.2 Animal Ethics

The University and its researchers will comply with relevant legislation, guidelines and codes relating to ethical practices in research or teaching involving animals, including but not limited to the:

- [Australian code for the care and use of animals for scientific purposes](#) (8th Edition, 2013)
- [Animal Welfare Act 1993](#) (Tas)
- [Veterinary Surgeons Act 1987](#) (Tas) and [Veterinary Surgeons Regulations 2012](#) (Tas)

The University will operate the University of Tasmania Animal Ethics Committee (AEC) to approve, monitor and report on teaching and research activities involving experimentation with animals.

Research and teaching activities involving animals must be approved by the AEC prior to the commencement of the research.

University researchers conducting research or teaching involving animals will:

- submit applications for ethical approval in accordance with the procedures or guidelines specified by the AEC, and not commence the research or teaching until approval is obtained
- comply with the University's [Veterinary Services Policy](#)

3.3 Human Ethics

The University and its researchers will comply with relevant legislation, guidelines and codes relating to ethical practices in human research, including but not limited to the:

- [National Statement on Ethical Conduct in Human Research](#) (2007, updated 2018)
- [Guidelines approved under Section 95 of the Privacy Act 1988](#) (Cth)
- [Guidelines approved under Section 95A of the Privacy Act 1988](#) (Cth)

The University will operate human research ethics committees (HRECs) including the:

- Tasmania Health and Medical HRECs to approve and monitor health and medical human research

- Tasmania Social Sciences HREC to approve and monitor all non-medical human research

Human research must be approved by the relevant University HREC prior to the commencement of the research.

University researchers conducting human research will:

- submit applications for ethical approval in accordance with the procedures or guidelines specified by the relevant University HREC, and not commence the research until approval is obtained

3.4 Research involving Aboriginal and Torres Strait Islander Peoples

University researchers conducting research involving Aboriginal and Torres Strait Islander peoples, their culture or land will:

- conduct their research in accordance with [Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#) (2018) and the [Guidelines for Ethical Research in Australian Indigenous Studies](#) (2012)
- follow the University's [Best Practice in Aboriginal and Torres Strait Islander Research Ethics](#) framework

3.5 Respect for the Environment

The University and its researchers will comply with relevant legislation, guidelines and codes relating to the natural (biotic and abiotic), built and cultural environment, including but not limited to:

- [Environment Protection and Biodiversity Conservation Act 1999](#)
- [Forest Management Act 2013 \(Tas\)](#)
- [Gene Technology Act 2000 \(Cth\)](#)
- [Gene Technology \(Tasmania\) Act 2012](#)
- [National Parks and Reserves Management Act 2002 \(Tas\)](#)
- [Nature Conservation Act 2002 \(Tas\)](#)

University researchers will:

- conduct their research to minimise adverse effects on the environment
- follow the University's [Biosafety and Biosecurity](#) procedures and guidance, and comply with the [Gene Technology Policy](#)
- follow the University's [Sustainability](#) procedures and guidance
- obtain required approvals and permits, including but not limited to [Department of Primary Industries, Parks, Water and Environment](#) scientific permits related to flora, fauna and earth materials

3.6 Management of Research Data and Primary Materials

The University supports the FAIR Data Principles (Findable, Accessible, Interoperable, Reusable) for data used in University research.

Research data and records should be accurate, complete and in enough detail to justify the outcomes of the research and to defend them if they are challenged.

Research data and primary material must be stored in a safe and secure environment and, wherever possible and appropriate, in a University-approved data repository. Arrangements for research data and primary material held in other locations must be documented.

Retention and disposal of research data and primary materials must be in accordance with the University's Records Retention and Disposal Schedule (DA 2398), and legislative, contractual, and other regulatory requirements. In general, the minimum retention period is 5 years from the date of publication, however the specific period should be determined with reference to the discipline and type of research, in accordance with the *Management of Research Data Procedure*. Where the results of research are challenged, all relevant data and materials must be retained beyond the minimum retention period until the matter is resolved.

3.6.1 Ownership of Research Data and Primary Materials

Intellectual property, including research data and primary materials, will be owned in accordance with the *Ordinance 18 – Intellectual Property*.

The University recognises that there may be cultural considerations that define the ownership of Aboriginal and Torres Strait Islander Peoples' intellectual and cultural property rights in which University research activities may be based. This includes the need for formal agreements on data ownership and primary materials on research with Aboriginal and Torres Strait Islander peoples and communities and the people to whom the data and/or primary materials relate.

Subject to any written agreements, the University will own research data and primary materials created or developed by an employee of the University where the research data and primary materials are:

- created or developed in the course of the employee's employment duties; or
- otherwise assigned to the University by written assignment.

The University will request that University researchers assign or license their interest in the research data and primary materials to the University in the circumstances described in the Intellectual Property Ordinance.

Subject to any written agreements, the University will remain the custodian of the research data and primary materials.

Researchers may be permitted to maintain a copy of the research data and primary materials for further use, where authorised by the delegated authority. Subject to legal, statutory, ethical and funding body requirements, the University will not withhold permission for any reasonable request from researchers to maintain a copy of research data and primary material for further use.

3.7 Supervision of Research Trainees

Supervisors and research trainees must comply with the University's [Higher Degree by Research Policies, Procedures and Guidelines](#) and [Rule 4 – Rules of Graduate Research](#).

3.8 Publication and Dissemination of Research Findings

Publication and dissemination of research findings includes refereed and non-refereed publications, such as academic journals, conference presentations and proceedings, books and web pages, other media such as exhibitions or films, non-traditional research outputs such as original creative works, as well as professional and institutional repositories.

University researchers will:

- ensure publications and other forms of dissemination are complete, accurate and unambiguous
- disclose:
 - any limitations of the results
 - financial and in-kind support for the research
 - any potential conflicts of interest, if these occur
- cite and acknowledge other relevant work appropriately and accurately
- register clinical trials with a recognised register
- manage confidentiality and privacy requirements, including those of research sponsors and participants (if applicable)
- strive to select the most appropriate publisher for their work, avoiding questionable publishers
- carefully consider any harms that might arise from a research output, such as the potential for dual use
- not make multiple submissions of research findings, except in particular and clearly explained circumstances (such as review articles, anthologies, collections, or translations into another language)
- not publish more than one output of the same type, or different types with substantially similar content, on the same set(s) or subset(s) of data without full cross-referencing and acknowledgement of the earlier output(s)
- not submit substantially similar work to more than one publisher, or submit work similar to work already published, without disclosing this at the time of submission
- comply with the University's Freedom of Inquiry and Responsibility to Publish Policy, Open Access Policy and Procedure and [Ordinance 18 – Intellectual Property](#)
- act promptly to address any inaccuracies or other issues regarding reporting about the research (including in the public arena)

The University will provide all appropriate legal and media expertise to assist researchers with communicating research findings.

3.9 Authorship

Authorship must be based on substantial scholarly or intellectual contributions to the research output.

Authorship will be offered to all people, including research trainees and research assistants, who meet the criteria for authorship specified in the Authorship of Research Procedure.

Acknowledgement will be appropriately offered to all individuals who have contributed to the research, facilities or materials, but whose contribution does not meet the criteria for authorship attribution.

University researchers will:

- follow the University Authorship of Research Procedure
- comply with the University Copyright Policy

3.9.1 University Affiliation

The University of Tasmania must be attributed as an institution of affiliation for all research outputs that have resulted from work conducted by University staff and students, and by joint, conjoint, and adjunct appointments, if either of the following conditions apply:

- the research leading to the research output has involved using resources and/or facilities of the University; or
- the funds for the research have been directed through the University

The above criteria may apply even if the author has subsequently left the University, provided that at least one of the above conditions are met.

3.10 Peer Review

Peer review includes the assessment of grant applications, publications, conference abstracts and awards.

University researchers will:

- undertake a peer review process prior to submission, where appropriate, to ensure quality applications are submitted for research ethics approval, funding and publication
- be aware of their obligations under various grant Funding Agreements as to the requirement to undertake peer review when requested by the Funding Body (for example, NHMRC, ARC)
- when agreeing to act as peer reviewers:
 - be fair and timely in their review
 - act in confidence and not disclose the content or outcome of any process in which they are involved
 - ensure they are informed about, and comply with, the relevant criteria
 - declare all conflicts of interest, including perceived conflicts of interest, which may influence the peer review process
 - give proper consideration to research that challenges or changes accepted ways of thinking
 - not take undue or calculated advantage of knowledge obtained during the process
- not agree to participate in specialist peer review outside their area or level of expertise or position or declare their limitations when doing so
- assist research trainees under their supervision in developing the skills and responsibilities involved in peer reviewing and appreciate their obligation to participate in this activity

3.11 Conflicts of Interest

The University and its researchers will disclose and manage conflicts of interest in accordance with the University's [Conflict of Interest Policy](#) and [Conflict of Interest Procedure](#).

University researchers will:

- be willing, where appropriate, to disclose conflicts of interest to ethics committees and potential participants
- be willing to disclose conflicts of interest in accordance with the requirements of funding bodies and agreements, and publishing bodies and agreements

3.12 Collaborative Research

Collaborative research includes collaboration within and outside of the University, nationally and internationally.

University researchers will:

- be aware of, and comply with, all policies and written agreements relating to the collaborative research project
- obtain required ethics approval/s in accordance with Sections 3.2 and 3.3 of this Policy, regardless of whether the primary researcher on the collaborative research project is affiliated with the University
- obtain required safety clearances in accordance with legislation and University policies related to Work Health and Safety
- comply with confidentiality requirements in accordance with relevant legislation, agreements, research ethics requirements, and other relevant professional standards
- comply with other relevant University policies and procedures, including the Consultancy Policy, Conflicts of Interest Policy and Procedure, Authorship Procedure and Management of Research Data Procedure

3.12.1 Collaborative Agreements

Where the University is involved in any collaborative research project with an external party, collaborating researchers must manage the following matters prior to the commencement of the research project:

- ethics approval and safety clearance
- authorship and publication
- research data and primary materials management, including shared access to research materials and data
- conflicts of interest
- nature and scope of confidentiality requirements
- financial management and distribution of commercial returns
- intellectual property and copyright
- reporting to appropriate agencies, including ethics and safety committees

Other considerations are:

- project risk
- project achievement criteria
- invoicing and payment
- assets and in-kind contributions
- involvement of research trainees and any impact on publications
- consultancies
- any physical or infrastructure requirements

The collaborative research agreement will:

- be a legally binding agreement
- be signed in accordance with the Schedule of Delegations
- acknowledge the University's adherence to the *Australian Code for the Responsible Conduct of Research*
- detail how commercial returns will be distributed, if applicable
- be consistent with relevant University policies including Ordinance 18 – Intellectual Property and the Consultancy Policy

Where the primary researcher on a collaborative research project is affiliated with the University, the University will normally have primary reporting responsibilities.

Each collaborating institution has responsibility for identifying a person to be involved in the management of research data, primary materials and other items to be retained at the end of the research project. Each collaborating institution will normally be responsible for the management of research data and primary materials within their institution.

3.13 Research Integrity Advisers

Research Integrity Advisers will:

- provide guidance and advice to staff and students on responsible research practices as outlined in the Code, University policies and procedures, and other guidelines and legislation relevant to their disciplines
- provide advice on options available to staff and students who indicate they are considering making an allegation of a breach of the Code
- not advise on matters where they have a potential, perceived or actual conflict of interest
- not be involved in the investigation, assessment or resolution of a complaint or allegation

Individuals are not restricted to seeking advice from the RIA within their own School, Centre, Institute or College.

3.14 Breaches of the Code

Concerns or complaints about potential breaches of the Code or of non-compliance with the provisions of this Policy will be managed and investigated in accordance with the Managing Allegations of Research Misconduct Procedure.

Concerns about a potential breach of the Code involving research under the auspices of the University, or of the provisions of this Policy are required to be acted upon in a timely manner. Appropriate action includes:

- Consulting with a Research Integrity Adviser; and/or
- Making a complaint in accordance with the Managing Allegations of Research Misconduct Procedure; or
- If the concern falls within the scope of the University's [Control of Fraud and Corruption Policy](#), making a complaint in accordance with that Policy

4 Definitions and Acronyms

Term/Acronym	Definition
Academic Unit	Means the secondary organisational unit in the academic structure of the University, reporting directly to the College Executive Deans, as per Ordinance 14 – Academic Structure.
Breach of the Code	A failure to meet the principles and responsibilities of the Code, and may refer to a single breach or multiple breaches

College	<p>Means:</p> <p>a) the primary organisational unit in the academic structure of the University, as per Ordinance 14 – Academic Structure</p> <p>b) the University College</p>
Delegated Head of Organisational Unit	<p>Head of organisational unit responsible for implementing this policy. May include a Head of Academic Unit or Executive Dean.</p>
Executive Dean	<p>Means:</p> <p>a) the Executive Dean of the relevant College, or</p> <p>b) in relation to the University College, the Chief Executive of the University College</p>
Head of Academic Unit	<p>Means the head of the relevant Academic Unit</p>
Human Research	<p>Means research conducted with or about people, or their data or tissue.</p>
Metadata	<p>Information or facts about research data for the purpose of attribution, description, management and discovery.</p>
Organisational Unit	<p>College, Faculty, School, Centre, University Institute, other University Entity, Division, Section or University Business Enterprise.</p>
Primary Materials	<p>Physical objects acquired through a process of scholarly investigation from which Research Data may be derived. Includes, but is not limited to, ore, biological material, questionnaires or recordings, artwork and photographs.</p>
Research	<p>The concept of research is broad and includes 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.</p> <p>This definition should be interpreted broadly. Without limiting its meaning, it includes all research irrespective of:</p> <ul style="list-style-type: none"> • The (sub)discipline or methodology of the work • Whether the work requires ethics approval • The funding source of the work (if any) • The level of experience of the researcher/s • The sources of data for the work • The potential participant pool (if any), or • The nature of any research outputs.

Research Data	Facts, observations, measurements or experiences on which an argument, theory or test is based. Research Data may be numerical, descriptive or visual. Research Data may be raw or analysed, experimental or observational. Includes laboratory notebooks, field notebooks, primary Research Data, questionnaires, audiotapes, videotapes, models, photographs, films, test responses, and any other records that are necessary for the reconstruction and evaluation of the reported results of research.
Research Integrity Adviser	Persons appointed by the University to assist in the promotion and fostering of responsible research conduct and provide advice to those with concerns about potential breaches of the Code.
RIA	Research Integrity Adviser
The Code	The Australian Code for the Responsible Conduct of Research

5 Supporting Documentation

5.1 Supporting University Documentation

- *Authorship of Research Procedure*
- *Conflict of Interest Policy*
- *Consultancy Policy*
- *Copyright Policy*
- *Defence Export Controls Policy*
- *Delegations Policy and Schedules*
- *Freedom of Inquiry and the Responsibility to Publish Policy*
- *Gene Technology Policy*
- *Insurance Policy*
- *Legal Compliance Policy and Legal Compliance Register*
- *Management of Research Data Procedure*
- *Management of Research Funding Policy*
- *Managing Allegations of Research Misconduct Procedure*
- *Open Access Policy and Procedure*
- *Radiation Safety Policy*
- *Records Management Policy and Procedure*
- *University Behaviour Policy and Procedure*
- *University of Tasmania Staff Agreement 2017- 2021*
- *Veterinary Services Policy*

5.2 Related External Codes and Guidelines

- *Australian Code for the Responsible Conduct of Research* (2018)
- *Australian code for the care and use of animals for scientific purposes* (8th Edition, 2013)
- *Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders* (2018)
- *Guidelines approved under Section 95 of the Privacy Act 1988* (Cth)
- *Guidelines approved under Section 95A of the Privacy Act 1988* (Cth)
- *Guidelines for Ethical Research in Australian Indigenous Studies* (2012)
- *National Statement on Ethical Conduct in Human Research* (2007, updated 2018)

5.3 Related Legislation

- *Animal Welfare Act 1993* (Tas)
- *Environment Protection and Biodiversity Conservation Act 1999*
- *Forest Management Act 2013* (Tas)
- *Gene Technology Act 2000* (Cth)
- *Gene Technology (Licence Charges) Act 2000* (Cth)
- *Gene Technology (Tasmania) Act 2012*
- *Genetically Modified Organisms Control Act 2004* (Tas)
- *Guardianship and Administration Act 1995* (Tas)
- *Human Cloning for Reproduction and Other Prohibited Practices Act 2003* (Tas)
- *Human Embryonic Research Regulation Act 2003* (Tas)
- *Human Tissue Act 1985* (Tas)
- *National Parks and Reserves Management Act 2002* (Tas)
- *Nature Conservation Act 2002* (Tas)
- *Personal Information Protection Act 2004* (Tas)
- *Privacy Act 1988* (Cth)
- *Privacy and Personal Information Protection Act 1998* (NSW)
- *Prohibition of Human Cloning for Reproduction Act 2008* (Cth)
- *Research Involving Human Embryos Act 2002* (Cth)
- *Therapeutic Goods Act 1989* (Cth)
- *Veterinary Surgeons Act 1987* (Cth)
- *Veterinary Surgeons Act 1987* (Tas)
- *Veterinary Surgeons Regulations 2012* (Tas)

6 Versioning

Former Versions	Version 1 – <i>Responsible Conduct of Research Policy</i> , approved December 2011; reviewed November 2014.
	Version 2 – <i>Responsible Conduct of Research Policy</i> , approved August 2015
Current Version	Version 3 - <i>Responsible Conduct of Research Policy</i> , approved August 2019