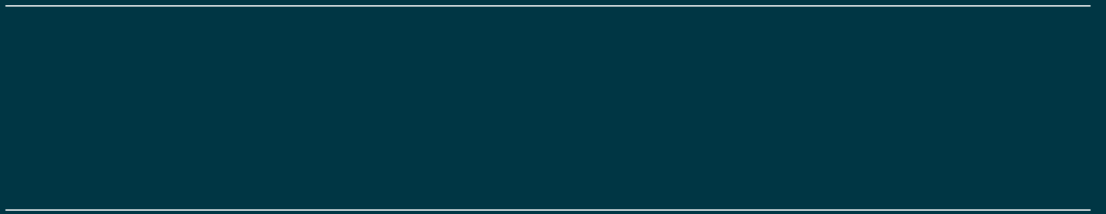




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## Preamble

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The Australian and international community expects research to be conducted responsibly, ethically and with integrity. The *Australian Code for the Responsible Conduct of Research* (the Code) articulates the broad principles that characterise an honest, ethical and conscientious research culture. It establishes a framework for responsible research conduct that provides a foundation for high-quality research, credibility and community trust in the research endeavour. It outlines the expectations for the conduct of research in Australia or research conducted under the auspices of Australian institutions.

The primary responsibility for ensuring the integrity of research lies with individual researchers and institutions. The Code sets out principles and responsibilities that both researchers and institutions are expected to follow when conducting research. Critical to this endeavour are the moral leadership and espoused values of the institution and the shared values and expectations of honesty and integrity that characterise an institution's leadership and culture.

The previous version of the Code has served as an important point of reference to researchers and administrators. In addition, its widespread adoption has provided the Australian community, and those responsible for funding research, with greater confidence in the integrity of research. This updated version of the Code has the same goal, but is presented in a simpler way that more clearly articulates the high-level principles, BTsTEH/ane.pan9.9 e10.5 0 0 10.5 70.8661 458.1927 Tm [the high- 64 width(or the cond1BTsT

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## Principles of responsible research conduct

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## Responsibilities of institutions

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*Responsible research conduct is fostered and underpinned by the research culture of the institution. Institutions have an obligation to encourage and support responsible research conduct. They are accountable to funding organisations and the Australian community for how research is conducted. To foster responsible research conduct, institutions will:*

- R1 Establish and maintain good governance and management practices for responsible research conduct.
- R2 Identify and comply with relevant laws, regulations, guidelines and policies related to the conduct of research.
- R3 Develop and maintain the currency and ready availability of a suite of policies and procedures which ensure that institutional practices are consistent with the principles and responsibilities of the Code.
- R4 Provide ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles.
- R5 Ensure supervisors of research trainees have the appropriate skills, qualifications and resources.
- R6 Identify and train Research Integrity Advisors who assist in the promotion and fostering of responsible research conduct and provide advice to those with concerns about potential breaches of the Code.
- R7 Support the responsible dissemination of research findings. Where necessary, take action to correct the record in a timely manner.
- R8 Provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference.
- R9 Facilitate the prevention and detection of potential breaches of the Code.
- R10 Provide mechanisms to receive concerns or complaints about potential breaches of the Code. Investigate and resolve potential breaches of the Code.
- R11 Ensure that the process for managing and investigating concerns or complaints about potential breaches of the Code is timely, effective and in accord with procedural fairness.
- R12 Support the welfare of all parties involved in an investigation of a potential breach of the Code.
- R13 Base findings of investigations on the balance of probabilities and ensure any actions are commensurate with the seriousness of the breach.

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## Responsibilities of researchers

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*Researchers will uphold the principles of responsible research conduct in all aspects of their research. To this end, researchers will:*

- R14 Support a culture of responsible research conduct at their institution and in their field of practice.
- R15 Provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct.
- R16 Undertake and promote education and training in responsible research conduct.
- R17 Comply with the relevant laws, regulations, disciplinary standards, ethics guidelines and institutional policies related to responsible research conduct. Ensure that appropriate approvals are obtained prior to the commencement of research, and that conditions of any approvals are adhered to during the course of research.
- R18 Ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research.
- R19 Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols.
- R20 Ensure that the 3Rs (Replacement, Reduction and Refinement) are considered at all stages of research involving animals and minimise the impacts on animals used in research and in so doing support the welfare and wellbeing of these animals.
- R21 Adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results.
- R22 Retain clear, accurate, secure and complete records of all research including research data and primary materials. Where possible and appropriate, allow access and reference to these by interested parties.
- R23 Disseminate research findings responsibly, accurately and broadly. Where necessary, take action to correct the record in a timely manner.
- R24 Disclose and manage actual, potential or perceived conflicts of interest.
- R25 Ensure that authors of research outputs are all those, and only those, who have made a significant intellectual or scholarly contribution to the research and its output, and that they agree to be listed as an author.
- R26 Acknowledge those who have contributed to the research.
- R27

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## Definitions

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Term	Definition
3Rs	The 3Rs are three principles that underpin a systematic framework to achieve the goal of humane experimental techniques. The principles are: Replacement of animals with other methods; Reduction in the number of animals used; and Refinement of techniques used to minimise the adverse impact on

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## Development of the Code

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The Code has been jointly developed by the National Health and Medical Research Council, the Australian Research Council and Universities Australia as a guideline under the *National Health and Medical Research Council Act 1992*. The development of the Code has been overseen by an expert working committee that consisted of the following members:

Member	Position	Period
Professor Mike Calford (Chair)	Provost, University of Tasmania	April 2015–December 2017
Professor Mike Brooks	Deputy Vice Chancellor Research, University of Adelaide	April 2015–December 2017
Professor Andrew Davidson	Medical Director, Melbourne Children's Trials Centre, Murdoch Childrens Research Institute	April 2015–December 2017
Emeritus Professor Toni Makkai	Former Dean, College of Arts and Social Sciences, Australian National University	April 2015–December 2017
Professor Philip Mitchell	Head of the School of Psychiatry, University of New South Wales	April 2015–December 2017
Emeritus Professor Janice Reid	Former Vice-Chancellor and President, Western Sydney University	April 2015–December 2016
Dr Paul Taylor	Director, Research Integrity, Governance and Systems, RMIT University	February 2016–December 2017
Professor Mandy Thomas	Executive Dean, Creative Industries Faculty, Queensland University of Technology	April 2015–August 2017
Dr Karolyn White	Director, Research Ethics and Integrity, Macquarie University	April 2015–December 2017
Dr Sarah Winch	Head of the Discipline of Medical Ethics, LawETTm(Head of the Dis153S)/MCID 313b( La)-3. (d5 BDC BT0 Tw 11b	



