

Research Integrity Breaches Procedure

This Procedure is effective as of April 1st 2020.

1. Purpose

This procedure outlines the processes that the Cairnmillar Institute's (the Institute) will follow to manage and investigate any potential breaches of research integrity. This procedure is in compliance with [the Australian Code for the Responsible Conduct of Research, 2018](#) (the Code) and the Guide to Managing and Investigating Potential Breaches of the Code, 2018 (the Investigation Guide).

2. Scope

This Procedure applies to allegations of a breach or serious breach of the research code by Institute staff or students conducting research and is in pursuant to the Institute's Research Integrity and Conduct Policy.

3. Procedure

3.1 Information and support for student researchers

- a) The HDR Coordinator will ensure that information about research integrity will be provided to all students enrolled in courses that involve research at the time of their induction and also provided on relevant unit sites.
- b) Information about research integrity will include definitions, sources of support, and penalties that might apply for breaches of research integrity.
- c) Students will be provided with opportunities to learn how to conduct research with integrity at the commencement of a research unit or course and will be provided with reminders during the course of their degree.
- d) The HDR Coordinator will ensure that new supervisors are informed of the Institute's Research Integrity and Conduct Policy at their induction, and that all supervisors are kept informed of requirements relevant to research integrity.

3.2 Allegation of a breach of research integrity

- e) Anyone suspecting a breach or serious breach of the research code must report the allegation/s to the Research and Research Training Committee. (RRTC) Chair.
- f) In the event that an allegation of research or serious research code breach may pose a significant risk to the safety of humans, animals, or the environment, the Chair RRTC must take appropriate action.
- g) The Chair RRTC or nominee will make the following determination

- a. The allegation will be dismissed due to insufficient information or there was no basis for the allegation
 - b. There are reasonable grounds for a potential research code or serious research code breach to be pursued according to Clause 3.3
- h) The Chair RRTC or nominee will notify the Executive Director and Head of School where an allegation of a serious research code breach is made.
 - i) The Chair RRTC or nominee will notify the staff or student against whom the allegation has been made in writing that an allegation has been made and inform them of the process by which the allegation will be assessed.
 - j) A written notification will be sent to the student or staff against whom the allegation has been made informing them of the nature of the allegation and will be provided with an opportunity to make a written submission and/or be heard. The written submission must be made within 10 days of the staff or student's receipt of the notification of the allegation.

3.3 Hearing of the allegation of a student breach of research integrity

- k) The Chair RRTC will appoint a Research Integrity Committee to hear the case. The committee will consist of an academic member of the RRTC, an active researcher who is not one of the supervisory team members for the student, a member of the Institute's Academic Board.
- l) The student against whom the allegation has been made will be provided with the following information at least 10 days before the hearing:
 - a. Information regarding the date and location of the hearing
 - b. Details of the allegation and any evidence that has been collected regarding the allegation
 - c. An opportunity to attend the hearing in person and/or respond in writing to be submitted up to 2 days prior to the hearing
 - d. Their right to have a support person attend the hearing with them
 - e. That the hearing will be held regardless of whether the student attends or is absent.
- m) The committee will review the evidence provided at the hearing and the student's response. The committee will act fairly, and in an unbiased manner.
- n) At the end of the hearing the committee will decide by a majority vote

3.4 Outcomes of the hearing

- o) Where a decision has been made by the committee that a breach of research code has been made, one or more of the following outcomes will be applied:
 - a. For coursework students including Honours
 - i. Completion of research integrity training

- ii. Formal warning
 - iii. Reduction in marks for the assessment task
 - iv. Repeat and resubmit the assessment task with a cap of 50% of the total possible marks allocated to the assessment
 - v. Zero marks for the assessment task
 - vi. Zero marks for the unit
 - vii. Suspension from the course for a specified period of time
 - viii. Exclusion from the course
- b. For HDR students
- i. Completion of research integrity training
 - ii. The student and supervisor to report on the research to RRTC for an extended period of time
 - iii. The research is recommenced
 - iv. Suspension from the course for a specified period of time
 - v. Exclusion from the course
 - vi. Retraction of publications
 - vii. An apology either verbal or written
- p) The outcome and reasons for the outcome will be provided in writing to the student within 5 working days from the hearing date. The student will also be made aware of their right to appeal and the appeal process.
- q) The student can appeal to the Executive Director on one or more of the following grounds and within 15 working days of being notified of the decision:
- a. The penalty imposed was too severe
 - b. There is new evidence that was not available at the time of the hearing
 - c. There was a misapplication of procedures
 - d. Relevant evidence was not considered or irrelevant evidence was relied on in reaching a decision.

3.5 Record Keeping

- r) A record of all allegations and relevant information of research or serious research code breaches will be kept in a Register which is held by the Chair RRTC.