ABOUT THIS REPORT

This report provides an insight into complaints received by the Conduct and Integrity Office (CIO) relating to the conduct of research by UNSW researchers between 1 January and 31 December 2021.

Limitations

Information in this report is based on information recorded by the UNSW Conduct and Integrity Office on 31 December 2021.

Conduct and Integrity Office
Division of Planning & Assurance
April 2022

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Conduct and Integrity Office (CIO)
The Conduct & Integrity Office supports UNSW’s position as Australia’s global university in research and educational excellence by ensuring that the principles of respect and integrity underpin the pursuit of knowledge at the University.

The CIO manages:
- Student conduct and integrity
- Research integrity
- Reports of wrongdoing
- Reports of sexual misconduct
- Complex complaints
- Prevention and engagement
- the UNSW Complaints Management System.
**AT A GLANCE**

**70 complaints**

- Continuing upward trend in number of complaints year-on-year (p.6)
- *Two complaints raised 26 matters (p.9)*

**2021**

- 84 Matters
- Record number of matters generated from complaints in 2021 (p.9)

**2020**

- 24 Matters

**2.4%**

- Complaints made against a very small proportion of UNSW researchers (p.6)

**29%**

- Failure to conduct research responsibly have been the common focus of most complaints (p.6)

**38%**

- Most complaints in medical and medical related disciplines (p.7)

**44%**

- Experienced researchers represented in almost half of matters (p.10)

**48%**

- Matters not substantiated 52% were substantiated/ partially substantiated (p.12)

**85%**

- Of matters finalised found to be a minor breach of Research Code
INTRODUCTION

UNSW Research integrity framework

The UNSW Research Code of Conduct (Research Code) articulates the principles of a responsible research culture and describes behaviours and standards expected of all UNSW researchers. It forms the basis of the University’s framework for research undertaken by UNSW researchers (Figure 1).

The Research Code is supported by the UNSW Research Misconduct Procedure (RMP), which sets out the process for handling complaints and alleged breaches of the Research Code at the University. An overview of the process is set out in the Appendix on page 17.


The Conduct and Integrity Office (CIO) promotes responsible research at UNSW; manages complaints and alleged breaches of the Research Code; and ensures compliance with statutory and legal requirements set and regulated by a range of external authorities (Figure 2).

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COMPLAINTS

The Conduct and Integrity Office (CIO) received 70 complaints and formal enquiries relating to UNSW research and researchers between 1 January and 31 December 2021. As Figure 3 shows, this maintains a relatively small but steady increase when compared with previous years.

Of note is that complaints and allegations have only been made against a very small proportion (2.4%) of the University’s 2,860 researchers.

The number of complaints received over the last 12 months were also consistent with the number of complaints received by other Go8 institutions of potential breaches of the Australian Code.

What they were about

As Figure 4 below shows, most (29% or 20) of the 70 complaints received in 2021 allege a failure to responsibly conduct research and deviations from approved protocols (26%), followed by authorship complaints (13%).

Of the 20 complaints alleging failure to conduct research responsibly, just over half (55% or 11) of the 20 complaints raised concerns that research conducted did not comply with legislation, policies and/or guidelines.

![Figure 3: Annual comparison of complaints and queries received 2017-2021](image)

![Figure 4: Primary concerns raised in complaints and queries raised in 2021.](image)

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An Ethics protocol deviation includes any breach, divergence, or departure from approved ethics protocol. Of the 18 complaints of breaches of protocol, half of the (56% or 10) complaints were referred to the CIO by the University’s Research Ethics and Compliance Support (RECS), on behalf of the Animal Care and Ethics Committee (ACEC) and Human Research Ethics Committee (HREC). All 10 researchers had self-reported breaches of approved ethics protocol to the ACEC/HREC. Complaints about authorship, which generally comprise authorship disputes involving inclusion or exclusion of authors and claims of failure to acknowledge contributors to research output, remained at similar levels to previous years. This has largely been due to efforts by the university’s Research Integrity Advisors (Associate/Deputy/Vice Deans of Research) to mediate the disputes before they are formally raised with the CIO.

As Figure 5 above shows, just over half (51% or 36) of the 70 complaints and queries in 2021 related to researchers in the Faculties of Science and Medicine and Health. Most (41% or 9) of these complaints related to breaches of, or deviation from, either approved animal or human ethics protocols.

Who they were from

As Figure 6 shows, about half (49% or 34) of the 70 complaints and queries received were from people or entities outside of the university, including, members of the public, other researchers, regulatory bodies and former staff/students.

Most (43% or 30) of the complaints and queries were received from UNSW staff and other business areas, including RECS, on behalf of the ACEC/HREC.

How they were managed

According to the Research Misconduct Procedure, an initial assessment is conducted by the CIO of each complaint to determine if it involves:

1) the conduct of research
2) a UNSW researcher/s; and
3) a potential breach of the Research Code.

The CIO then determines whether the complaint may be addressed at the local level (e.g., matters related to research administration such as unintentional administrative errors, clerical errors/oversight) or requires a preliminary assessment.

The purpose of the preliminary assessment (further investigation) is to gather facts and to assess whether the facts of the complaint, if substantiated, would constitute a breach of the Research Code.
Of the 70 complaints received in 2021, just under half (46% or 32) of the 70 complaints and queries received were assessed as meeting the scope of the Research Misconduct Procedure. This represents a 28% increase in the number of complaints that met the scope of the Research Misconduct Procedure in 2020 (25 complaints).

Of the 32 complaints that met the scope of the Research Misconduct Procedure:

- 11 (29%) complaints related to researchers whose projects had deviated from approved ethics protocols. Of these, eight researchers had admitted to breaching the Research Code and no further investigations were required; and three complaints proceeded to a preliminary assessment (further investigation)
- 21 complaints were also referred for further investigation.

Of note in 2021 was the receipt of two complaints garnering significant media attention, alleging falsification/fabrication/misleading images, plagiarism and gift authorship involving 26 former and current UNSW authors and numerous authors from other Australian and international research institutions. Further information is set out in the text box on page 9 of this report.

In line with accepted practise, complaints about published papers involving UNSW authors are referred to the corresponding author institution to manage.

Of the 38 complaints and queries which did not meet the scope of the Research Misconduct Procedure:

- 20 complaints were referred to be managed under another university process, by another business area or by another organisation (e.g., workplace grievances were referred to UNSW Human Resources to according to the Staff Complaint Procedure, and student complaints to be managed under the Student Complaint Procedure). Of these, three were referred to a Research Integrity Advisor to attempt a mediation with the disputing parties; and
- 18 complaints were either queries to which CIO responded to or dismissed, with complainants advised that they did not relate to UNSW or that there was insufficient information to enable the University to proceed further.

**Change to management of authorship and publication disputes**

In 2021, the CIO undertook a full review of the UNSW Authorship and Resolving Disputes between Authors Procedure and replaced with the:

- Research Authorship, Publication and Dissemination Policy, which applies provisions in guides released by the ARC, NHMRC and Universities Australia, on authorship and publication and dissemination of research, to support the application of the Australian Code for the Responsible Conduct of Research; and
- Authorship and Publication Dispute Management Procedure, which outlines the University’s process for raising and resolving concerns and disputes about authorship and publication of all forms of research outputs.

Of note is that the policy:

- expands on, and clarifies, research authorship requirements, including the criteria for authorship
- replaces the requirement for an Authorship Statement with a recommendation that authors discuss and document the authorship agreement where there is more than one author of a research output; and
- sets out key responsibilities of researchers on authorship, publication and dissemination of research. From 1 January 2022, parties may refer an authorship or publication dispute to a Head of School for mediation where they are unable to resolve the matter themselves. Where the dispute cannot be mediated it may be referred to a Research Integrity Advisor (Associate Dean of Research) for determination of authorship.
A single complaint may raise one or more concerns alleging breaches of the Research Code involving one or multiple researchers. Additional allegations and/or respondents may subsequently be identified by the CIO during the initial assessment and/or preliminary assessment.

In 2021, the CIO managed several complaints which raised multiple matters.

Each matter represents an allegation that a researcher had one or more breaches of the Research Code.

While most complaints raised one matter (80% or 28 complaints) there were four complaints that raised five or more matters each, including the two complaints that raised the ‘PubPeer matters’ (26 matters in total).

As figure 7 above shows, in 2021 the 32 complaints which required further investigation raised a record 84 matters.

The majority (77% or 65) of the 84 matters alleged a single breach of the Research Code, with 20% (or 17 matters) alleged two breaches; and just two matters alleged three or more breaches of the Research Code.

As indicated earlier in this report, eight matters did not require further investigation as the researchers had admitted to breaching the Research Code. A determination of a breach of the Research Code was made on all but one of the matters (as it involved a minor clerical/administrative error).

Of the 84 matters, 76 matters required a preliminary assessment (further investigation) according to the UNSW Research Misconduct Procedure.

4 The gathering and evaluation of information/evidence and assessment.
Which disciplines

As shown by Figure 8, just under three-quarters (74% or 62) of the 84 matters raised in 2021 were in the disciplines of medicine, health and science. Most (56% or 35) of the 62 matters stemmed from two complaints alleging falsification and/or fabrication of research or use of falsified and/or fabricated research. One of those complaints raised the 26 ‘PubPeer matters’ – which spanned three discipline areas, with most matters in the medical, health and science. Most (4 of 6 matters) relating to UNSW Canberra involved researchers in Engineering and Information Technology.

What the matters involve

As Figure 9 below shows, the primary allegation of most (43% or 36) of the 84 matters managed by the CIO in 2021 involved falsification and/or fabrication of research/ research data. As indicated above, 35 of these 36 matters stemmed from two complaints – 26 matters known as the ‘PubPeer matters’ and nine matters raised by a single complainant based overseas.

Approximately two-thirds (65% or 15) of the 23 matters alleging a failure to conduct research responsibly involved alleged failure in research supervision and mentoring, and/or breaches of copyright.

What level of researcher experience

As indicated by Table 1 over the page, 37 (or 44%) of the 84 matters raised in 2021 involved experienced researchers. Allegations raised crossed a range of conduct, including alleged failure in research supervision and training, deviation from approved ethics protocol, failure to declare conflicts of interest, and falsification and/or fabrication of research data/findings. Of note is that a quarter (24%
or 9) of these matters were a part of the PubPeer matters – with five matters involving conjoint appointees and a visiting Fellow at the time.

<table>
<thead>
<tr>
<th>HR Level</th>
<th># of matters raised in 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>HDR Student</td>
<td>18</td>
</tr>
<tr>
<td>Early-career (Level A)</td>
<td>7</td>
</tr>
<tr>
<td>Mid-career (Level B-C)</td>
<td>15</td>
</tr>
<tr>
<td>Experienced (Level D-E)</td>
<td>37</td>
</tr>
<tr>
<td>Professional staff</td>
<td>7</td>
</tr>
<tr>
<td>Total</td>
<td>84</td>
</tr>
</tbody>
</table>

Table 1: Breakdown of matters by researcher experience (HR level)

Of the 18 matters relating to HDR students:
- 11 (61%) matters allege plagiarism in theses by former HDR students and were raised by a single complainant
- Three matters were linked to the PubPeer matters and involved former HDR students; and
- One complaint alleged that a current HDR student had plagiarised content from a research integrity training module.

Of the 15 matters relating to mid-career researchers, approximately half (47% or 7 matters) allege falsification and/or fabrication of research data/findings, with six of these matters linked to PubPeer matters.

Of the seven involving professional staff – three matters relate to PubPeer matters and two matters relate to the allegation of falsification and/or fabrication of research data/findings raised by the overseas complainant (which raised 9 matters in total).
OUTCOMES

In 2021, the CIO finalised 29 matters (including two matters relating to one researcher). Of these matters, approximately 59% (17 matters) stemmed from complaints raised in 2020 - including a complaint which ARIC recommended that UNSW re-assess/investigate.

As shown in Figure 10, most (48% or 14) of the 29 matters finalised were found to be unsubstantiated (where all allegations raised in the matter were unsubstantiated). Just under a quarter (24% or 7 matters) were found to be partially substantiated (where part or some allegations were substantiated), and 28% (8 matters) were found to be substantiated (where all allegations were substantiated).

It should be noted that five of the eight matters which were substantiated involved researchers who had admitted to breaching the Research Code by unintentionally deviating from approved ethics protocols. These five matters proceeded to a determination without requiring an investigation as researchers had admitted to breaching the Research Code. Outcomes in these five matters ranged from a ‘minor’ to ‘major’ (but not Research Misconduct) breaches of the Research Code.

Of note, and as shown in Table 2 below, in 85% of the matters where allegations were substantiated or partially substantiated, the finding was that a ‘minor breach’ of the Research Code against the researchers was determined.

<table>
<thead>
<tr>
<th>Researcher level</th>
<th>No breach</th>
<th>Minor breach</th>
<th>Major (serious) breach</th>
<th>Funding body actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>HDR Student</td>
<td>2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Early-career (Level A)</td>
<td>1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mid-career (Level B-C)</td>
<td>4</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Experienced (Level D-E)</td>
<td>8</td>
<td>6</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>14</td>
<td>11</td>
<td>2</td>
<td>2</td>
</tr>
</tbody>
</table>

Table 2: Breakdown of outcomes by researcher experience (HR Levels)

Breach of the Research Code

A breach is a failure by a UNSW researcher to meet the principles and responsibilities of the Research Code. A breach of the Research Code can occur along a spectrum, from minor (less serious) to major (more serious). A major breach, or repeated breaches, of the Research Code may constitute Research Misconduct.
Corrective action arising from findings of a breach of the Research Code over the reporting period include:

- measures to mitigate the risk of researchers deviating from approved ethics protocol in the future
- submitting a modification to an approved ethics protocol
- correction request to Journals
- counselling with the Head of School; and
- remedial training on research integrity and researcher supervision.

**ARC and NHMRC**

Australian Research Council (ARC) and National Medical and Health Research Council (NHMRC) funding agreements and policies requires research institutions to report potential breaches and findings of breaches of the Research Code where they relate to prospective/current recipient of research funding.

In 2021, UNSW notified the ARC/NHMRC of 13 matters. In most cases, the ARC/NHMRC indicated that they were ‘satisfied with investigations and actions taken’ by the University. The ARC applied consequential actions to two researchers – seeking assurances from the DVCRE in relation to researcher compliance with their responsibilities in current and future funded projects for a period of up to two years.

There was only one request made by the Australian Research Integrity Committee (ARIC) in late-2021 to review the investigation a matter which was finalised earlier in 2021. The review is still in progress.

**Go8 comparison**

The 2018-2021 Group of Eight (Go8) Universities report on Research Integrity comparison of matters across member institutions is currently being prepared being compiled. An update to indicate how UNSW compares to other Go8 member institutions will be provided once the information is available.
<table>
<thead>
<tr>
<th>Identified risk</th>
<th>Controls in place</th>
<th>Planned in 2022+</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poor awareness and understanding of Research Integrity leads to questionable</td>
<td>• Codes and procedures are readily available and accessible</td>
<td>• Communications and engagement strategy focused on ongoing and proactive</td>
</tr>
<tr>
<td>research practices, which impacts researcher and university credibility and</td>
<td>• Researcher training, including Epigeum Research Integrity training, supervisor</td>
<td>awareness raising and understanding of Research Integrity.</td>
</tr>
<tr>
<td>trust in research.</td>
<td>training, research data management training)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Research Integrity Advisors in each Faculty to promote research integrity and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>advise researchers on relevant UNSW codes, guidelines and procedures about the</td>
<td></td>
</tr>
<tr>
<td></td>
<td>responsible conduct of research.</td>
<td></td>
</tr>
<tr>
<td>Falsification and/or fabrication of research data/findings leads to unreliable</td>
<td>• Policies and procedures on data management, open access and peer review</td>
<td>• Streamline investigative processes and using innovative technology-based tools</td>
</tr>
<tr>
<td>results, which impacts research and university credibility and public trust in</td>
<td>• Strong supervision and mentorship</td>
<td>to detect image manipulation.</td>
</tr>
<tr>
<td>research.</td>
<td>• Regular review of lab books</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Peer review</td>
<td></td>
</tr>
<tr>
<td>Contract cheating and plagiarism leads to work submitted not being the work or</td>
<td>• Promoting good supervision and mentoring</td>
<td></td>
</tr>
<tr>
<td>words of the researcher/s, which impacts researcher and university credibility</td>
<td>• Warning issued to students of contract cheating</td>
<td>• Implement Complaints and Investigations Project review recommendations</td>
</tr>
<tr>
<td>and trust in research.</td>
<td>• Requirement that all supervisors use iThenticate before theses are submitted</td>
<td>• Developing iThenticate training video</td>
</tr>
<tr>
<td></td>
<td>for examination</td>
<td>• Retraction project to identify problem trends in publication related to</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Research Integrity issues</td>
</tr>
<tr>
<td>Breakdown in researcher relationships/communi</td>
<td>• Codes and procedures Onboarding, induction and training</td>
<td>• Promoting respectful relationships</td>
</tr>
</tbody>
</table>

Including:
- More face-to-face information sessions to researchers on research integrity
- Developing and updating online guidance for researchers on:
  - Responsible conduct of research
  - Authorship and publication (including collaborative research best practice)
  - Conflict of interest
  - Plagiarism
  - Grant funding rules
<table>
<thead>
<tr>
<th>Identified risk</th>
<th>Controls in place</th>
<th>Planned in 2022+</th>
</tr>
</thead>
</table>
| Poor research supervision results in poor research practice, which impacts researcher and university credibility and trust in research. | • Codes and procedures  
• Supervision training                                                                 | Graduate Research School to continue to drive an educative approach and cultural change among new and emerging supervisors. |
| Unintended breach of ethics protocol results in poor research practice, which impacts researchers ability to publish results | • Codes and procedures  
• Ethics Committees                                                                 | Go8 benchmarking exercise on protocol deviation management                        |
| Under-reporting of breaches of the Research Code results in poor research practices being accepted, which impacts the quality and reputation of research at UNSW. | • Educatve approach to minor breaches of ethics protocol designed to streamline the process of reporting breaches of ethics protocol. Under this approach, researchers are encouraged to self-report breaches of ethics protocol. | • Improved online information on how to lodge a complaint about questionable research practices  
• Improved information on how to identify and pathways to report breaches of the Research Code  
• Communications and engagement strategy focused on ongoing and proactive ‘speak up’ integrity culture  
• Rolling communication to reinforce the message of protections for complainants. |
KEY DEVELOPMENTS & ACTIVITIES IN 2021

Key developments and initiatives undertaken by the CIO to promote and manage research integrity at UNSW:

- Quarterly Ethics and Integrity Forums
  
  Co-chaired by CIO and RECS, the quarterly meetings provide Research Integrity Advisors with the opportunity to discuss developments, issues and cases. These meetings also allow the CIO to get essential feedback to inform proposed research integrity outreach activities.

- Information sessions
  
  The CIO conducted five presentations to Faculties and Schools on Research Integrity, including students undertaking Honours.

- Participation in quarterly Go8 REIG meetings

- NSW RI meetings

- Enhancement of CIO operating budget and resources, including two additional Senior Case Managers and a new prevention and engagement team, to commence in 2022

- An independent review of the management of complaints and Investigations at UNSW undertaken

- Review of complaints management system was undertaken with a view to procure a system which is fit-for-purpose.

- Review of the Research Code of Conduct and Research Misconduct Procedure

- Full review of the Authorship and Resolving Disputes between Authors Procedure and replaced it with the Research Authorship, Publication and Dissemination Policy and Authorship and Publication Dispute Management Procedure (see Page 8 of this report).

Benchmarking Go8 processes and outcomes for ethics protocol deviations

In late-2021, the CIO, in collaboration with Research Ethics Compliance Support (RECS), commissioned a project to benchmark the University’s current process for managing breaches and deviations from animal and human ethics protocols against practices followed by other Group of Eight universities (Go8).

The purpose of the project is to gather information from the Go8 to assist UNSW to:

1) benchmark its ethics protocol deviation management process; and
2) identify changes to current process and practice to better align with best practice across the Go8.

The project is now underway and is expected to conclude in the second quarter of 2022.
# GLOSSARY & DEFINITIONS

<table>
<thead>
<tr>
<th><strong>ACEC</strong></th>
<th>UNSW Animal Care and Ethics Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ARC</strong></td>
<td>Australian Research Council</td>
</tr>
<tr>
<td><strong>Australian Code</strong></td>
<td><em>Australian Code for Responsible Conduct of Research 2018</em>, jointly published by the National Health and Medical Research Council, Australian Research Council and Universities Australia</td>
</tr>
<tr>
<td><strong>Allegation</strong></td>
<td>A claim or assertion arising from a Preliminary Assessment that there are reasonable grounds to believe a breach of the Research Code has occurred.</td>
</tr>
<tr>
<td><strong>Breach?</strong></td>
<td></td>
</tr>
<tr>
<td><strong>CIO</strong></td>
<td>Conduct and Integrity Office, in the Division of Planning and Assurance.</td>
</tr>
<tr>
<td><strong>DVCREE</strong></td>
<td>Deputy Vice-Chancellor, Research and Enterprise</td>
</tr>
<tr>
<td><strong>Fabricate or fabrication</strong></td>
<td>Creating or reporting data or results without conducting research or the reported research and reporting the data as gathered through accepted research practices.</td>
</tr>
<tr>
<td><strong>Falsify or falsification</strong></td>
<td>Manipulating research materials, equipment, processes, or changing or omitting data or results such that the research is not accurately represented. Falsification also includes the selective omission/deletion/suppression of conflicting data without scientific or statistical justification.</td>
</tr>
<tr>
<td><strong>HDR</strong></td>
<td>Higher Degree Candidate - A person enrolled in a UNSW Higher Degree Research program (Doctor of Philosophy, Professional Doctorate, Masters by Research or Master of Philosophy).</td>
</tr>
<tr>
<td><strong>Matter</strong></td>
<td>Each matter represents an allegation that a researcher had one or more breaches of the Research Code.</td>
</tr>
<tr>
<td><strong>HREC</strong></td>
<td>UNSW Human Research and Ethics Committee</td>
</tr>
<tr>
<td><strong>NHMRC</strong></td>
<td>National Health and Medical Research Council</td>
</tr>
<tr>
<td><strong>Preliminary Assessment</strong></td>
<td>The gathering and evaluation of information/evidence and assessment</td>
</tr>
<tr>
<td><strong>Plagiarism</strong></td>
<td>Plagiarism at UNSW means using the words or ideas of others and passing them off as your own, including copying, inappropriate paraphrasing, collusion, inappropriate citation and self-plagiarism as defined in the UNSW Plagiarism Policy</td>
</tr>
<tr>
<td><strong>RECS</strong></td>
<td>UNSW Research Ethics Compliance Support, in the Division of Research &amp; Enterprise</td>
</tr>
<tr>
<td><strong>RMP</strong></td>
<td>UNSW Research Misconduct Procedure</td>
</tr>
<tr>
<td><strong>Research Code</strong></td>
<td>UNSW Research Code of Conduct</td>
</tr>
<tr>
<td><strong>Researcher</strong></td>
<td>Person or persons affiliated with UNSW who conducts research. At UNSW this includes UNSW academic staff, UNSW professional staff, non-academics/professionals undertaking research, conjoint appointments (those who have been conferred an academic title by UNSW in accordance with the UNSW Conferring Academic Titles Procedure), and visiting appointments undertaking research at UNSW, whether on a full-time or part-time, or fixed term, continuing or casual basis. Researchers also include Research Trainees, Higher Degree Research Candidates and Coursework Students.</td>
</tr>
<tr>
<td><strong>University</strong></td>
<td>The University of New South Wales</td>
</tr>
</tbody>
</table>
APPENDIX

Process for handling complaints about research at UNSW

Complaint received

Initial assessment

- Initial assessment that Complaint involves:
  1. Conduct of Research
  2. UNSW Researcher/s, and

  OR

  NO

  OR

Matter referred to local level to manage e.g. unintentional administrative errors/ clerical oversight

Matter referred for a preliminary assessment

Preliminary Assessment

Assessment Officer (AO) gathers facts to assess if complaint, if proven, constitutes a Breach of the Code

AO provides a Preliminary Assessment Report to the Determining Officer (DO) for determination

OR

Minor Breach of Research Code

Major & serious Breach of Research Code

No Breach of Research Code

OR

OR

Determiner

- Minor Breach of Research Code
  - Resolve locally with/without corrective action
  - DO to notify Respondent and other parties of the determination made and outcome

- Major & serious Breach of Research Code
  - DVCRE for appropriate disciplinary process (not requiring an Investigation Panel)
  - DVCRE to consider an Investigation Panel inquiry

- No Breach of Research Code
  - Only where potential Research Misconduct is found
  - Refer to another institution OR another process OR dismiss complaint
  - Write to complainant of outcome

OR

Consequential actions

DO refers matter to Dean/ RIA/ Head of School for corrective action

DVCRE refers matter to Dean/ RIA/ Head of School for action under Enterprise Agreement

No disciplinary action required

(HDR Student) Corrective/ Disciplinary action, if appropriate and according to the UNSW Student Misconduct Procedure

Refer matter/ determination to other another institution OR another process OR dismiss complaint

Parties (e.g. funders, publishers, collaborators & participants) informed as required

End of process

Respondents/complainants may request an external review of UNSW investigative processes with ARIC/ ARC/ NHMRC