

Research Ethics and Integrity Policy

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1. Purpose and objectives

The Research Ethics and Integrity Policy (the policy) aims to ensure that those conducting research on behalf of UTS are committed to the highest possible standards of ethical conduct and integrity, and to the maintenance of their own reputation as well as that of the university.

2. Scope

This policy applies to all UTS staff, students, affiliates and other persons conducting research under the auspices of UTS. UTS affiliates include honorary appointees, emeritus professors, conjoint appointments, contractors, volunteers, agency staff, members of university/faculty committees and any other person appointed or engaged by UTS to perform work, duties or functions for the university.

3. Principles

3.1 UTS adopts and abides by the [Australian Code for the Responsible Conduct of Research](#) (the Code) which articulates the responsibilities that both institutions and researchers are expected to follow, aligned to the following core principles:

- **honesty** and **rigour** in the development, undertaking and reporting of research
- **transparency** in declaring interests and reporting research methodologies, data and findings
- **fairness** in the treatment of others
- **respect** for research participants, the wider community, animals and the environment
- **recognition** of the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them

- **accountability** for the development, undertaking and reporting of research
- **promotion** of responsible research practices.

Where there is confusion or inconsistency between this Policy and the Code or its supporting Guides, the Code documentation will be considered as the authoritative source.

- 3.2 Research conducted outside of NSW must comply with the governing principles of this policy, provided that such compliance does not breach relevant local legislation. Research should not be conducted in other countries as a mechanism of avoiding compliance with this policy and local legislation.
- 3.3 All necessary ethics approvals must be obtained before work requiring ethics approval commences.

4. Policy statements

4.1 Human ethics

4.1.1 All those under the scope of this policy conducting research involving human participants must:

- comply fully with the [National Statement on Ethical Conduct in Human Research](#) (2018) (the National Statement) or any replacement or amendment thereof
- understand and comply with the university's [Guidelines for human research ethics](#) (Staff Connect)
- seek approval from the UTS Human Research Ethics Committee (HREC) for all human research assessed as higher than low risk. Risk assessment via Research Master (authorised software for research management) is required for all UTS research involving humans.
- seek ratification from the UTS HREC for all human research which has been granted ethics approval by an external HREC.

4.2 Animal ethics

4.2.1 All those under the scope of this policy conducting research involving animals must:

- comply fully with the [Australian Code for the Care and Use of Animals for Scientific Purposes](#) or any replacement or amendment
- understand and comply with the university's [Guidelines for animal ethics](#) (Staff Connect)
- seek approval from the UTS Animal Care and Ethics Committee (ACEC) for all research involving the care and use of animals
- notify the Research Ethics Office of any proposed use of deceased animals or animal tissues so that they may check that the proposed use does not require further review by the ACEC
- if conducting research in collaboration with another institution, follow procedures that ensure compliance with sections of [the Code](#) relating to collaboration.

4.3 Biosafety

4.3.1 All those under the scope of this policy conducting research involving biological hazards such as genetically modified organisms (GMOs), pathogens, ionising radiation, cytotoxic substances and imported biological materials must:

- comply fully with the requirements of the Office of Gene Technology Regulator (OGTR) under the [Gene Technology Act 2000 \(Cwlth\)](#) or any replacement or amendment
- understand and comply with the university's [Guidelines for biosafety](#) (Staff Connect)
- seek approval from the UTS Institutional Biosafety Committee (IBC) for any research associated with the importation, storage, use and/or disposal of biological hazards and imported biological materials.

4.4 Clinical trials

4.4.1 All those under the scope of this policy conducting research involving innovations, interventions and therapies, including clinical and non-clinical trials, must:

- comply fully with the requirements of the [National Statement](#) or any replacement or amendment
- clinical trials of medicines and medical devices also must comply with the [Note for guidance on good clinical practice](#) (CMP/ICH/135/95, Therapeutic Goods Administration)
- understand and comply with the university's [Guidelines for clinical trials](#) (Staff Connect)
- seek approval from the UTS Clinical Trials Sub-Committee (CTSC) for all research involving innovations, interventions and therapies, including clinical and non-clinical trials.

4.5 Management of research data and primary materials

4.5.1 Researchers are responsible for the collection, management, storage, retention and disposal of any research data, primary materials and records used or created in the conduct of a research project, particularly in relation to human participants or animals. The [Research Management Policy](#) governs all research, including research data management at UTS. Specific requirements around the protection of human data are outlined in the university's [Guidelines for human research ethics](#) (Staff Connect).

4.6 Conflicts of interest

4.6.1 All those under the scope of this policy are expected to disclose and manage any actual, potential or perceived conflicts of interest. Conflicts of interest in research may include financial conflicts but may also include personal and professional conflicts as well as matters of institutional advantage.

4.6.2 The [Code of Conduct](#) governs the management of conflicts of interest at UTS.

4.7 Managing complaints and potential breaches

4.7.1 All those under the scope of this policy are expected to follow the applicable instruments for managing complaints.

- Concerns or complaints around workplace behaviour or researcher conduct should be resolved in accordance with the [Code of Conduct](#) (for conduct involving staff and affiliates) or (for conduct involving students).
- Concerns or complaints relating to ethics or biosafety should be resolved in accordance with the relevant the university's [research ethics and integrity guidelines](#) (Staff Connect).
- Concerns or complaints relating to research integrity, including potential breaches of this policy and/or [the Code](#), should be resolved in accordance with the university's [Guidelines for research integrity breaches](#) (Staff Connect) (for occurrences involving staff) or [section 16, Student Rules](#) (for occurrences involving students).

4.7.2 In managing complaints regarding integrity breaches, the university is responsible for:

- developing and maintaining suitable processes for receiving, investigating and resolving complaints
- training those involved in the complaints management process, including Research Integrity Advisers
- ensuring that these processes are timely, effective and in accord with procedural fairness
- supporting the welfare of all parties involved
- ensuring that findings and resolutions are commensurate with the seriousness of the breach.

4.7.3 Procedures for raising and managing allegations of research integrity breaches by UTS staff are outlined in the university's [Guidelines for research integrity breaches](#) (Staff Connect).

5. Policy ownership and support

The roles and responsibilities in this policy are consistent with the Delegations.

5.1 Policy owner

The **Deputy Vice-Chancellor (Research)** is responsible for policy enforcement and compliance, ensuring that its principles and statements are observed, and for the approval of any associated university-level procedures. The Deputy Vice-Chancellor (Research) is also the UTS designated officer for handling research integrity breaches, as defined in [the Code](#).

5.2 Policy contacts

The **Manager, Research Integrity and Research Programs** and the **Director, Research and Innovation Office (RIO)** are responsible for the implementation of this policy, acting as primary points of contact for advice on implementing its provisions.

The **Manager, Research Integrity and Research Programs** is responsible for maintaining the official file, proposing amendments as required and managing the consultation process when these parts of the policy are due for review.

Other roles

Deans, Associate Deans (Research) and institute and centre directors are all responsible for managing their unit's accountabilities under this policy, and for promoting the awareness of policies and guidelines related to research ethics and integrity.

6. Definitions

Definitions in this policy, the [Research Management Policy](#) and [Schedule 1, Student Rules](#) apply for this policy and all associated procedures.

Designated officer is the 'designated person' as defined in [the Code](#). The designated officer is responsible for receipt and management of formal complaints of research integrity breaches.

Human Research Ethics Committee (HREC) is a committee constituted in accordance with the [National Statement](#) to review and, where appropriate, approve and monitor the ethical and scientific aspects of human research studies.

Research, for the purposes of this policy, has the same meaning as used by both [the Code](#) and the [National Statement](#), which define research as 'original investigation undertaken to gain knowledge, insight and understanding'.

Research Integrity Adviser (Adviser): This role supports researchers through the provision of guidance in relation to the proper conduct of research, and advice for anyone who is unsure about a research conduct issue and may be considering whether to make an allegation of a breach of research integrity. The role does not extend to investigating an allegation, contacting the subject(s) of the allegation or advising on matters where there is a conflict of interest.

Approval information

Policy contact	Director, Research and Innovation Office (RIO)
Approval authority	Academic Board
Review date	2021
File number	UR17/3691
Superseded documents	Biosafety in Research Vice-Chancellor's Directive (file: UR14/347) Ethical Conduct of Research Involving Animals Vice-Chancellor's Directive (file: UR14/346) Ethical Conduct of Research Involving Human Participants Vice-Chancellor's Directive (file: UR14/345) Research Misconduct Vice-Chancellor's Directive (file: UR15/255) Responsible Conduct of Research Policy (file: UR10/620)

Version history

Version	Approved by	Approval date	Effective date	Sections modified
1.0	Academic Board (AB/17-2/35)	07/06/2017	01/01/2018	New policy.
1.1	Director, Governance Support Unit	05/06/2018	06/06/2018	Minor amendment to section 4.1.1.

Version	Approved by	Approval date	Effective date	Sections modified
1.2	Academic Board (AB/18-5/86)	31/10/2018	12/12/2018	Minor amendments to policy principles and 4.7.2 in relation to the management of integrity breaches.

Web version

[Research Ethics and Integrity Policy](#)

References

[Australian Code for the Responsible Conduct of Research](#) (the Code)

[Australian Code for the Care and Use of Animals for Scientific Purposes](#)

[Code of Conduct](#)

[Gene Technology Act 2000 \(Cwth\)](#)

[National Statement on Ethical Conduct in Human Research \(2018\)](#) (National Statement)

[Research guidelines](#) (Staff Connect):

- animal ethics
- biosafety
- clinical trials
- human research ethics
- research integrity breaches

[Research Management Policy](#)

[Student Rules: section 16, Schedule 1](#)

[Therapeutic Goods Administration's note for guidance on good clinical practice \(CMP/ICH/135/95\)](#)

Additional reading

[Research students](#) (Staff Connect)