

GOOD RESEARCH PRACTICE

CODE OF CONDUCT FOR RESEARCH

This Code of Conduct for Research should be read in conjunction with the University's "Code of Conduct for Officers and Employees of USC", draft "Student Conduct and Discipline Statute", "Intellectual Property Policy", "Acceptable Use of IT Resources Policy" and "IT Security Policy".

1. Applicability

- 1.1 This Code of Conduct applies to all staff, research degree candidates and students of the University of the Sunshine Coast.

2. Purpose of this Code of Conduct

- 2.1 The Code of Conduct for Research at the University of the Sunshine Coast is designed to ensure that research conducted by persons associated with the University embodies:

- the highest standards of intellectual honesty
- adherence to ethical principles of justice and veracity
- respect for people and their privacy
- avoidance of harm to people
- respect for non-human subjects of research
- compliance with the *National Statement on Ethical Conduct in Research Involving Humans* (NHMRC, 1999), *Australian Code of Practice for the Care and Use of Animals for Scientific Purposes, Sixth Edition* (NHMRC, 1997), *Animals Protection Act 1925* (Qld), *Animals Protection Regulation 1991* (Qld) and *Privacy Act 1988*.

3. Responsibilities of researchers

- 3.1 All University researchers have a responsibility to:
- be familiar with and act according to this Code of Conduct
 - be familiar with and act in accord with applicable legislation and national codes of conduct/practice related to their area of research
 - be familiar with and act according to codes of conduct applicable to their discipline and research areas or professional bodies
 - act with honesty and integrity in all matters pertaining to research conducted by virtue of any association with this University.

4. Non-compliance with this Code

- 4.1 Non-compliance with this Code of Conduct for Research may constitute research misconduct. Researchers are referred to the separate document, "Research Misconduct".

5. Principles for the conduct of research

5.1 *General principles*

5.1.1 Eligibility to research

Research must be conducted or supervised only by those persons with experience, qualifications and competence appropriate to the intended research.

5.1.2 Research Merit

All researchers must demonstrate that a research proposal is justifiable in terms of:

- contribution to knowledge
- the pursuit and protection of truth
- the objectives of the proposal being likely to be achieved owing to:
 - reliance on research methods appropriate to the discipline, including
 - being based on thorough study of current literature
 - thorough prior observation, where relevant
 - approved previous studies
 - previous laboratory and animal studies, where relevant
 - the researcher's skill and experience.

5.1.3 Integrity

Researchers must act with integrity in the form of:

- commitment to the search for knowledge and truth
- commitment to the protection of truth
- honest and ethical conduct of any research
- honest and ethical conduct in the dissemination and communication of results and findings.

5.1.4 Respect for those involved in research and their environments

Researchers must have regard for:

- the welfare, rights, beliefs, perceptions, customs and cultural heritage of persons involved in research
- the welfare of animals used in research
- environments within which research is to be conducted.

5.1.5 Beneficence

Researchers must maximise possible benefits and minimise possible harms to subjects of, and participants in research whether physical, psychological, emotional, spiritual, economic, cultural or social.

5.1.6 Safety

- (a) Researchers have an obligation to ensure the safety of all persons associated with any research.

- (b) Research must only be conducted using facilities appropriate for the research and where there are appropriate skills and procedures for dealing with any contingencies that may affect research subjects or participants.

5.2 *Principles specific to research involving animals*

5.2.1 Essentiality

Researchers may only use animals in research and teaching activities when use of the animals is essential to:

- obtain and establish significant information relevant to the understanding of humans or animals; or
- the maintenance and improvement of human or animal welfare; or
- the improvement of animal management or production; or
- the achievement of educational objectives.

5.2.2 Justification

Researchers may only use animals where justified, after weighing the research or educational value of a proposed study against the potential effects on an animal's welfare.

5.2.3 Replacement

Researchers must seek and use techniques which replace or complement the use of animals wherever possible.

5.2.4 Reduction

Researchers must ensure that studies are scientifically and statistically valid and use only the minimum number of animals necessary. Reducing the number of animals used must not be implemented at the expense of greater suffering of individual animals. Activities involving the use of animals must not be repeated unnecessarily.

5.2.5 Refinement

(a) Researchers must:

- choose animals suitable for the purpose of the investigation, taking into account the animals' biological characteristics, including their behaviour, genetic constitution and nutritional, microbiological and general health status;
- use the best available scientific techniques and be competent in the procedures they perform;
- design research activities so as to avoid pain or distress to animals. If this is not possible, pain or distress must be minimised;
- assume that animals experience pain in a manner similar to humans and decisions regarding an animal's welfare must be based on this assumption unless there is evidence to the contrary;
- alleviate pain or distress promptly when an animal develops signs of pain or distress of a kind and degree not predicted in the research proposal. If severe pain cannot be alleviated promptly, the animal must be killed humanely forthwith. Alleviation of such pain or distress must take precedence over finishing a study;

- ensure that activities which may cause pain or distress of a kind and degree for which anaesthesia would normally be used in veterinary or medical practice are carried out using anaesthesia appropriate to the species and procedure;
- provide pain management appropriate to the species, procedure and circumstances;
- ensure that when it is not possible to use anaesthetics or analgesics the end-point of the research activity is as early as possible to avoid or minimise pain or distress to the animals;
- not use neuromuscular blocking agents without appropriate general anaesthesia, except in animals where sensory awareness has been eliminated. If such agents are used, continuous or frequent intermittent monitoring of paralysed animals is required to ensure that the depth of anaesthesia is adequate to prevent pain or distress;
- avoid using death as an experimental end-point whenever possible;
- ensure that activities involving the use of animals are as brief as possible;
- ensure that animals are transported, housed, fed, watered, handled and used under conditions which are appropriate to care of the species. The welfare of the animals must be the primary consideration of care and should be based on the behavioural and biological needs of the species.

(b) Researchers should:

- only take wildlife from their natural habitats if animals bred in captivity are not available or are unsuitable;
- where appropriate, consult and seek consent from any indigenous custodians of land prior to taking wildlife from their natural habitats
- use analgesics and tranquillisers at least parallel with usage in medical or veterinary practice.

5.2.6 Compliance

Researchers must comply with the *Australian code of practice for the care and use of animals for scientific purposes*, 6th edition, 1997, National Health and Medical Research Council; *Queensland Animals Protection Act 1925*; *Queensland Animals Protection Regulation 1991*.

5.3 ***Principles specific to research involving humans***

5.3.1 Respect for participants

Researchers must design research protocols to ensure that respect for the dignity and well being of human participants in research takes precedence over the expected benefits to knowledge.

5.3.2 Beneficence

- (a) All research involving humans must be of potential benefit to the researcher's community or humankind.
- (b) Researchers must protect the welfare and rights of all human participants in research.
- (c) Researchers must assess the risk of harm and the potential benefits from research, and in doing so be sensitive to the rights and interests of people involved in the research and the possible social and cultural implications of the research and its findings.

- (d) In research in which there is no intended direct benefit to a participant there should be an absence of, or minimal risk to a participant.
- (e) Researchers must suspend or modify any research in which risks to participants are found to be disproportionate to the benefits and stop any involvement of any participant if continuation of the research may be harmful to that person.
- (f) In the event of serious or unexpected adverse effects on participants in any research given approval by the University's Human Research Ethics Committee or exempted from such approval, the researcher must immediately report this to the Human Research Ethics Committee.

5.3.3 Social Justice

- (a) Researchers must avoid imposing an unfair burden of participation in research on particular groups who are likely to be subject to over-researching.
- (b) Researchers must not discriminate in the selection and recruitment of human research participants by including or excluding them on the grounds of race, age, sex, disability or religious or spiritual belief except where the exclusion or inclusion of particular groups is essential to the purpose of the research.

5.3.4 Informed and consensual participation in research

- (a) Researchers must obtain the consent of each participant and properly interested party in any research involving humans before any research is undertaken, in accordance with provisions contained in Sections 1.7 to 1.12 of the *National Statement on Ethical Conduct in Research Involving Humans* except where exempted according to Sections 1.11, 6.9, 14.4, 15.8 and 16.3 of that Statement.
- (b) Researchers must respect any individual or collectivities' refusal to participate in a research project.
- (c) For *research involving children and young people*, consent must be obtained from the child or young person whenever he/she has sufficient competence to make this decision as well as either the parents/guardian in all but exceptional circumstances and any organisation or person required by law.
- (d) For *research involving a person with an intellectual or mental impairment*, consent must be obtained from the person concerned whenever the person is of sufficient competence and, where the impairment is temporary or recurrent, at a time when the impairment does not prevent the person giving or refusing consent; or, failing that, the person's guardian or an authority or other organisation or person having that responsibility at law.
- (e) For *research involving persons in dependent or unequal relationships*, e.g students and teachers, in which unequal power relationships exist between the researcher and research participants, the researcher must give potential and actual participants an assurance that refusal to participate in, or a decision to withdraw from, the research will not result in any discrimination or reduction in the level of professional duty towards the person or any other penalty.
- (f) For *research involving persons highly dependent on medical care*, researchers should acknowledge that the giving of free and informed consent can be compromised by the effect of a medical condition on the person's capacity to form and express an opinion

or to communicate. Researchers need to ensure that participation in the research is not contrary to the interests of the persons and need to consider whether an unfair burden of participation is being imposed on these persons.

- (g) For *research involving collectivities*, researchers must ensure that information on the research proposal is conveyed to collectivities in a form accessible and readily understood by collectivity members (individuals, collectivity leaders and properly interested parties) well in advance of any request for participants to consent to involvement in the research. The information should include details of collection and analysis of data; drafting and publication of findings; potential benefits and costs/harms to the collectivity.

5.3.5 Research involving children and young people

Research involving children and young people should only be conducted where:

- the research is important to the health and well-being of children or young people
- the participation of children or young people is indispensable because information available from research on other individuals cannot answer the research question posed in relation to children or young people;
- the study method is appropriate for children or young people
- the circumstances in which the research is conducted provide for the physical, emotional and psychological safety of the child or young person.

(See also informed and consensual participation in research above)

5.3.6 Research involving persons with an intellectual or mental impairment

Researchers should weigh the potential benefits against risks of undue burden when considering research involving persons with an intellectual or mental impairment and address these in any research proposal.

(See also informed and consensual participation in research above)

5.3.7 Research involving collectivities

- (a) For any research involving a collectivity (including indigenous Australian collectivities) researchers must seek approval from the University's Human Research Ethics Committee. (See definition of collectivity later in this document.)
- (b) Researchers should address in the research protocol for any research involving a collectivity the following matters:
- issues of consent, privacy, confidentiality and harms within the collectivity, either to individuals or the collectivity;
 - whether, in addition to consent of individual participants, collectivity leaders should be consulted for consent for members of the collectivity to participate;
 - whether there has been negotiation between the researcher and properly interested parties to a collectivity regarding the above issues;
 - ownership of research data and the manner of dissemination of research findings;
 - the manner in which disagreements between the researcher and the collectivity will be resolved.

- (c) Researchers should avoid imposing an unfair burden of participation in research on collectivities, especially indigenous Australians, who are likely to be subject to over-researching.
- (d) In any research involving collectivities of indigenous Australians, researchers must ensure that the collectivity has indicated that the research protocol is appropriate and acceptable to the collectivity.

5.3.8 Publication and access to research findings

- (a) The results of research and the methods used should normally be published in ways which permit scrutiny and contribute to public knowledge.
- (b) Normally, research results should be made available to research participants.

5.3.9 Data protection

Where personal information about research participants or a collectivity is collected, stored, accessed, used, or disposed of, a researcher must strive to ensure that the privacy, confidentiality and cultural sensitivities of the participants and/or the collectivity are respected.

5.3.10 Compliance

Researchers must comply with the *National Statement on Ethical Conduct in Research Involving Humans*, 1999, National Health and Medical Research Council.

Research carried out at the University must comply with the University's Environment Policy.

5.3.11 Research in another country

Where research is conducted in an overseas country by a person by virtue of any association with this University, the research must comply with the requirements of the *National Statement on Ethical Conduct in Research Involving Humans* as well as the laws and guidelines of that country.

5.4 ***Principles specific to research in protected or environmentally sensitive areas***

Researchers should be guided by the principles listed below where research at a particular site or location involves or is likely to involve:

- threatened species or populations
- key habitats or likely habitats of rare, threatened or commercially important species
- relocation or release of biological material
- introduction or release of genetically modified material
- use of toxic/radioactive/cumulative/persistent chemicals
- access to areas closed to the public
- transportation of people or equipment through a site with the possibility of consequent detrimental impact on the environment
- significant harm to habitats, flora, fauna, geological and palaeontological material, archaeological and historic material (including artefacts)
- interference with the normal behaviour of animals
- use of techniques which would be likely to intrude on amenity, privacy, rights and values of other legitimate users or custodians.

5.4.1 Justification

Researchers should only conduct research in protected or environmentally sensitive areas where justified, after weighing the research or educational value of a proposed study against the potential effects on the welfare of populations and species.

5.4.2 Environmental protection

- (a) Researchers should not undertake research in protected or environmentally sensitive areas if the research activity at the site contributes to the long-term decline of populations or species.
- (b) Researchers should not undertake research in protected or environmentally sensitive areas in which deliberate acts to harm or cause a decline in a population, species or individual members of endangered species are performed, even if the activity is designed for conducting observations of or collecting data on that harm or decline or any possible recovery process.

5.4.3 Movement

Researchers should move research either away from protected or environmentally sensitive areas or use non-invasive techniques such as computer-modelling.

5.4.4 Minimisation

Researchers should minimise procedures to be carried out in protected or environmentally sensitive areas.

5.4.5 Modification

Researchers should modify activities to reduce the impact on protected or environmentally sensitive areas.

5.4.6 Maximisation

Researchers should maximise the use and benefits of research results based on use of protected and environmentally sensitive areas.

6. Definitions

Animal - An animal is defined as any live non-human vertebrate, i.e. fish, amphibians, reptiles, birds and mammals, including domestic animals, purpose-bred animals, livestock and wildlife, and any live invertebrate of a species, or a stage of the life cycle of a species, from the class Cephalopoda or Malacostraca (e.g. octopi, squid, crabs, crayfish, lobsters and prawns).

Collectivity - a collectivity is a distinct human group with its own social structure that links members with a common identity, with common customs and with designated leaders or other persons who represent collective interests in dealing with researchers. Examples of collectivities may include cultural or ethnic groups, and indigenous communities.

Participants - humans (living or dead) who are the principal focus of research and those humans upon whom the research or its findings may impact.

Wildlife - free-living vertebrates of native, non-indigenous and feral species including captive bred animals and those captured from free-living populations.

7. Ethical review/approval or exemption from ethical review

7.1 Research involving animals

- 7.1.1 Before any research is commenced in respect of a research proposal or project using animals, except livestock owned or managed by the University, the researcher must submit the research protocol to the University's Animal Ethics Committee for review and approval. (See separate document, "Criteria for Animal Ethics Committee review for approval".)
- 7.1.2 A researcher must include in a research proposal a statement of the ethical considerations involved in the proposed research, a justification for the proposed use of animals and information showing compliance with the principles of Replacement, Reduction and Refinement.
- 7.1.3 Any research proposal involving animals which may affect or concern indigenous custodians or other collectivities must be referred to the Human Research Ethics Committee as well as the Animal Ethics Committee for ethical approval.

7.2 Research involving humans

- 7.2.1 Before any research is commenced in respect of a research proposal or project involving human participants the researcher must refer to the document, "Criteria for Human Research Ethics Committee review for approval" and where required submit the research protocol to the University's Human Research Ethics Committee for review and approval.
- 7.2.2 A researcher must include in a research proposal a statement of the ethical considerations involved in the proposed research and should give adequate consideration to individual and collective participants' welfare, rights, beliefs, perceptions, customs and cultural heritage.

7.3 Any research

- 7.3.1 In submitting a research protocol for ethical review a researcher must disclose to the relevant Ethics Committee the amount and sources or potential sources of funding for the research and must declare any affiliation or financial interest when proposing and reporting on the research.
- 7.3.2 A researcher must discontinue research if ethical approval has been withdrawn for the proposal and must comply with any special conditions which the relevant University Ethics Committee might require.

8. Research databases and records

8.1 Ownership of research databases

- 8.1.1 For the purpose of this Code of Practice a database is defined as a collection of related information organised in a useful manner that provides a base or foundation for procedures such as retrieving information, drawing conclusions and making decisions; the data is normally stored on a computer or in electronic format and is associated with software used to update and query the data.

- 8.1.2 Researchers must ensure that they negotiate, clarify and document ownership of all research databases with programmers, database designers, interested parties and co-researchers and comply with copyright and intellectual property laws and policies as they relate to databases. (See Section 6 for a definition of “database”.)
- 8.1.3 The University of the Sunshine Coast shall own all research databases for research in which it is an interested party, whether as an employer or institution of enrolment of the researcher or as a party to a contract, memorandum of understanding, head of agreement or similar arrangement except when there is written agreement between the University and other parties that another entity or person shall own a specified research database or part thereof.

8.2 *Access to databases*

- 8.2.1 Where research databases contain personal information on research subjects or other confidential or private information access to those databases must be secured and limited to those personnel authorised in writing by the principal researcher.
- 8.2.2 The principal researcher may specify a time limitation on access to a research database by an authorised user, at the expiry of which the user shall have no further rights of access. Any such limitation should be specified in writing, together with reasons for the limitation and any other conditions of access.
- 8.2.3 The principal researcher is responsible for making such arrangements as are necessary to prevent unauthorised access.

8.3 *Personal/private information*

8.3.1 Information which can identify a person

- (a) Personal information is defined as information by which individuals or collectivities can be identified. It may be information or an opinion (including information or an opinion forming part of a database), whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained from the information or opinion.
- (b) Researchers must give particular regard to matters of confidentiality and privacy concerning personal information. Researchers have legal and ethical obligations not to use information received from or about an individual or collectivity for any purposes other than those research purposes for which the information was given.
- (c) Researchers should comply with the Information Privacy Principles contained in the Commonwealth *Privacy Act 1988*. Those principles, as applied to research, are given below.

8.3.2 Collection of personal information

Researchers must not collect personal information for inclusion in a record or in a generally available publication unless the information is collected for a lawful purpose directly related to the research activity. The information must not be collected by unlawful or unfair means.

8.3.3 Solicitation of personal information from an individual

Where a researcher collects personal information for inclusion in a record or a generally available publication and the information is to be solicited from an individual, the researcher must ensure before its collection or as soon as possible thereafter that the individual is aware of the purpose for collecting the information and the names of any person or body to whom the information will be disclosed.

8.3.4 Solicitation of personal information generally

Where researchers collect personal information for inclusion in a record or a generally available publication and the information is solicited, the researchers must ensure that the information collected is relevant to the research purpose, up-to-date and complete and that collection of the information does not intrude overly on the personal affairs of an individual.

8.3.5 Storage and security of personal information

Researchers must ensure that any record containing personal information is protected against loss, unauthorised access, use, modification or disclosure or other misuse. If it is necessary for a researcher to give a record containing personal information to another person or agency then everything possible must be done to prevent unauthorised use or disclosure of the information in the record.

8.3.6 Maintaining information relating to records of personal information kept

Researchers must ensure that information may be obtained readily by any person on the following and must advise the University's FOI Co-ordinator in writing:

- whether any records with personal information are kept
- if records with personal information are kept -
 - what is the nature of the records of personal information
 - what are the main purposes of use of each type of record kept
 - what are the classes of individuals about whom records are kept
 - what is the time period for keeping the records
 - who is entitled to access the records and under what conditions
 - what steps a person should take if he/she wants to access the records.

8.3.7 Access to records containing personal information

Any individual is entitled to access a research record containing his/her own personal information unless the University's FOI Officer is required or authorised to refuse the individual access to that record under the Queensland *Freedom of Information Act 1992*.

8.3.8 Alteration of records containing personal information

A researcher may make appropriate corrections, deletions and additions to ensure that a record is accurate, relevant to the purpose, up-to-date, complete and not misleading, subject to any limitation in law providing a right to require correction or amendment of documents. Where an individual requests correction, deletion or addition to personal information and there is no law providing a right to require correction or amendment, the researcher must take steps to attach to the record any statement provided by that individual of the correction, deletion or addition sought by the individual.

8.3.9 Responsibility to ensure accuracy of personal information before it is used

Researchers must ensure that personal information in research records is accurate, up-to-date and complete before that information is used.

8.3.10 Personal information is to be used only for the purpose of its collection or recording

Researchers must not use any personal information in a research record except for the research purposes for collecting and recording that information.

8.3.11 Limits on use of personal information

Researchers must not disclose personal information obtained in research to any person, body or agency (apart from the person whose personal information it is) unless:

- the individual concerned has consented to the disclosure
- the individual concerned is likely to have been aware or made aware that information of that kind is usually passed on to that person, body or agency
- the researcher believes disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person
- disclosure is authorised/required by law
- disclosure is necessary for law enforcement or public revenue protection (in which case the record should include a notation of the disclosure).

8.4 *Data storage and retention*

8.4.1 Researchers must record research data in a durable and referenced form.

8.4.2 All research data and records must be retained for at least five years from the date of any publication based upon them.

8.4.3 Researchers should ensure that data and records are managed in accord with current privacy protocols, e.g. the Australian Standard on personal privacy protection (Personal privacy protection in health care information systems, Australian Standard AS 4400-1995)

8.4.4 Faculties or other relevant organisational units are responsible for establishing procedures for retention of research data and keeping records of research data held. Researchers are responsible within these procedures for ensuring security of any confidential or personal information held on computerised, networked or any other systems.

8.4.5 Where there is more than one researcher involved in a research project, one researcher must be nominated as the research record-keeper and the executive author of any research output and will have responsibility for all research data record-keeping, retention, storage, security and access. The original data should be retained and stored in the faculty or organisational unit and should not be retained by an individual researcher.

8.4.6 Data related to publications must be available for discussion with other researchers. Where confidentiality provisions apply, the data should be kept in a way that reference to them by third parties can occur without breaching confidentiality.

8.4.7 Any confidentiality agreements which limit free publication and discussion of research data must have explicitly agreed limitations and restrictions.

- 8.4.8 When data are obtained from limited access databases, written indication of the location of the original data must be retained by the researcher or faculty or organisational unit.

9. Publications and authorship

9.1 Authorship

- 9.1.1 If all of the following conditions are met by a researcher he/she may claim authorship of a research output:
- conception and design of the research output, or major analysis and interpretation of the research data
 - drafting the work or revising it critically for important intellectual content
 - responsibility for giving final approval of the version to be published.
- 9.1.2 Any part of a work critical to the main conclusion must be the responsibility of at least one author. The authorial role must be sufficient for the person to take responsibility for at least that part of the output in the person's area of expertise.
- 9.1.3 No person who is an author (see above) may be excluded as an author without his/her written permission.
- 9.1.4 A person who does not meet the conditions for authorship as given above must not be included as an author of a publication.
- 9.1.5 Where postgraduate research candidates or other students are to be involved in contributing to research on which it proposed to base a publication, the candidates or students must be advised, in advance of their participation, of the criteria for authorship as given above.
- 9.1.6 Where postgraduate research candidates or other students have made a contribution to research on which a publication is based, the author/s must ensure appropriate acknowledgment of that contribution within the publication.
- 9.1.7 Where there is more than one co-author of a research output, one co-author should be nominated as executive author and take responsibility for record-keeping.
- 9.1.8 All co-authors of a publication must sign a statement of authorship specifying that they are the only authors according to the criteria given above and stating that they have seen the version submitted for publication.
- 9.1.9 The written statement of authorship must be filed in the faculty or unit of the executive author.
- 9.1.10 If a co-author is unavailable for signing the Dean of faculty/head of unit may sign on their behalf and note the reasons for unavailability of the co-author.
- 9.1.11 Authors must recognise in the research output those others who have contributed to the work, including individuals and organisations providing facilities.

9.2 Publication

- 9.2.1 Researchers must take reasonable steps to ensure that published reports, statistics and published statements about research activities and performance are complete, accurate and unambiguous.

- 9.2.2 Researchers should not report findings in the public media before they have been peer-reviewed except where there is a contractual arrangement or where issues of public policy and concern make public release desirable. In the latter case, advice of the findings and of their unpublished status must be given first to the responsible public or professional authorities. Only where responsible authorities fail to respond to the advice can release to the media be justified and the media must be informed that the findings have not been peer-reviewed or published.
- 9.2.3 All publications must include information on all sources of financial support for the research. Where publishers indicate an intention to delete references to funding sources, the authors must advise the publishers of the provisions of this Code of Conduct and of contractual commitments in respect of due acknowledgment.
- 9.2.4 Publication of multiple papers based on the same set/s or subset/s of research data is not acceptable, except where there is full cross-referencing within the papers.
- 9.2.5 An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission.
- 9.2.6 Deliberate inclusion of inaccurate or misleading information or omission of relevant information relating to research activity in any of the following constitutes research misconduct:
- curriculum vitae
 - grant and job applications
 - public statements.
- 9.2.7 Researchers must ensure accuracy in describing the state of:
- a publication (in preparation, submitted, accepted)
 - research funding (applied for, granted, funding period)
 - awards conferred.

10. Supervision of postgraduate research candidates and research trainees

- 10.1 All supervisors and potential supervisors of postgraduate research candidates, honours degree candidates and other research trainees must comply with the University Council's statements, "Responsibilities of Supervisors and Candidates for Research Higher Degrees" and "Responsibilities of Supervisors and Candidates for Undergraduate Honours Degrees".

11. Disclosure of Potential Conflicts of Interests

- 11.1 Researchers must disclose at the time of proposing their research any affiliation with or any financial involvement in or from any entity with an interest (direct or indirect) in the subject matter or materials of the research or researchers. If an affiliation or financial involvement arises during conduct of the research and has not already been disclosed it should be disclosed at the first available opportunity.
- 11.2 Any interest which has the potential to influence research and investigations, publication and media reports, grant applications or other research-related matters must be disclosed by researchers as a potential conflict of interest immediately the potentiality is identified.

- 11.3 Disclosures should be made in confidence to the Deputy Vice Chancellor (DVC) and should include sufficient information to enable the DVC to determine an appropriate course of action. The minimal information required is the name of the researchers, title of the research proposal/project, names of the organisations/bodies/persons having an interest in the research, the nature of their involvement, and the nature of any benefits derived by the researcher and the interested parties.
- 11.4 Researchers must comply with the course of action determined by the DVC in relation to a matter of conflict of interest.
- 11.5 Researchers have an additional obligation to disclose potential conflicts of interest to editors of journals, readers of published work and external bodies from which funds are sought.
- 11.6 Any member of the University may advise the DVC in confidence of an apparent undisclosed potential conflict of interest concerning a research proposal or project. On receipt of such advice, the DVC will advise the researcher concerned of the allegation and seek information to enable assessment of whether potential exists for a conflict of interest. If the DVC determines that a potential conflict of interest exists the respondent will be required to comply with a course of action determined by the DVC.

Acknowledgements

The University of the Sunshine Coast acknowledges that the Code has been based on material contained in University policies, the *Joint NHMRC/AVCC Statement and Guidelines on Research Practice*, May 1997; *Australian code of practice for the care and use of animals for scientific purposes*, 6th edition, 1997, National Health and Medical Research Council; *National Statement on Ethical Conduct in Research Involving Humans*, June 1999, National Health and Medical Research Council; *ASTEC Principles and Guidelines for the ethical conduct of research in protected and environmentally sensitive areas*, May 1998, Australian Science, Technology and Engineering Council; *Guidelines on ethical matters in Aboriginal and Torres Strait Islander Health Research*, June 1991, National Health and Medical Research Council, Commonwealth *Privacy Act 1988*.

Approved: Council C00/64, 13.6.00

Last revised: Council C01/87, 27.11.01