

Responsible Conduct of Research Policy

1. Purpose and Scope

KOI is committed to supporting intellectual curiosity, and to developing high quality research and a scholarly research environment characterised by their rigour, honesty and integrity.

King's Own Institute ("KOI" or "the Institute") is committed to:

- maintaining the highest standards of integrity and ethics in the conduct of research; and
- upholding the standards set out in the [Australian Code for the Responsible Conduct of Research, 2018](#) ('the Code') and the [National Statement on Ethical Conduct in Human Research \(2023\)](#) ('the National Statement').

This policy provides KOI's overarching research framework for adopting the Code, and for complying with the National Statement, relevant sections of the [Higher Education Standards Framework \(Threshold Standards\) 2021](#) (HESF 2021) and other legislation and regulatory requirements.

This policy applies to:

- all research activities conducted under the auspices of KOI;
- all staff, including adjunct and other KOI appointees;
- Higher Degree Research (HDR) candidates.

This policy does not apply to students undertaking coursework units at KOI.

2. Related Documents

This Policy is to be read in conjunction with KOI's:

- Research Authorship Procedures;
- [Conflict of Interest Policy](#)
- [Conflict of Interest Procedures](#)
- [Conflict of Interest Guidelines](#)
- [Documents and Records Control Policy](#);
- [Human Research Ethics Policy](#);
- Research Integrity and Misconduct Procedures;
- Research Data Management Procedure.

3. Definitions

Definitions are drawn from [the Code and supporting Guides](#).

Allegation means "a claim or assertion arising from a preliminary assessment that there are reasonable grounds to believe a breach of the Code has occurred. May refer to a single allegation or multiple allegations".

Breach means "a failure to meet the principles and responsibilities of the Code and may refer to a single breach or multiple breaches".

Complainant means "a person who has made an Allegation about the conduct of research".

Conflict of Interest is defined as "a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests. This refers to a financial or non-financial interest which may be a perceived, potential or actual conflict of interest".

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Research is defined as “the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative”.

Research Misconduct means “a serious breach of the Code which is also intentional or reckless or negligent”.

Researcher is “a person (or persons) who conducts, or assists with the conduct of, research”.

4. Policy

KOI ensures:

- research complies with external legal and regulatory obligations and is conducted in a manner consistent with the Institute’s values and governance documents;
- research and its associated activities are conducted in accordance with a research policy framework that ensures compliance with the HESF 2021, ethical conduct of research, responsible research practice and effective resolution of allegations of misconduct in research;
- research is conducted, or overseen, by staff with qualifications, research experience and skills relevant to the type of research undertaken and their role; and
- a system for accurate and up-to-date recording of all research outputs of staff is maintained.

This policy will ensure that KOI:

- adopts the Code;
- prescribes how the Institute and its researchers and staff will comply with the Code and the HESF 2021;
- seeks to minimise risk and protect the interests of KOI, researchers, staff and HDR candidates when engaging in research activities; and
- seeks to protect research participants.

In the event of any inconsistency between the Code and KOI’s governance documents, including this Policy, the Code will prevail.

5. Principles

KOI adopts the principles of responsible conduct of research in the Code to ensure that its processes are consistent with those principles, and that a responsible research culture is supported. The principles are:

- Honesty in the development, undertaking and reporting of research;
- Rigor in the development, undertaking and reporting of research;
- Transparency in declaring interests and reporting research methodology, 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, including the ethical use of artificial intelligence.

All persons conducting research under the auspices of KOI must:

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- read this Policy and related documents at Section 2;
- consult the Code and the National Statement before commencing a research project;
- be aware of the principles and their responsibilities with regards to the Code and requirements prescribed by the National Code and by KOI, including those prescribed in this Policy; and
- conduct their research in accordance with the principles of the Code and requirements prescribed by KOI.

6. Roles and Responsibilities

Responsibilities of KOI

KOI endorses the following Responsibilities of Institutions as set out in the Code:

- establish and maintain good governance and management practices for responsible research conduct;
- identify and comply with relevant laws, regulations, guidelines and policies relating to the conduct of research;
- 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;
- provide ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles;
- ensure supervisors of research trainees have the appropriate skills, qualifications and resources;
- 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;
- support the responsible dissemination of research findings and, where necessary, take action to correct the record in a timely manner;
- 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 to those records and materials;
- facilitate the prevention and detection of potential breaches of the Code;
- provide mechanisms to receive concerns or complaints about potential breaches of the Code, and investigate and resolve potential breaches of the Code;
- 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;
- support the welfare of all parties involved in an investigation of a potential breach of the Code;
- base findings of investigations on the balance of probabilities and ensure any actions are commensurate with the seriousness of the breach.

Responsibilities of Researchers

KOI endorses the following Responsibilities of Researchers as set out in the Code:

- support a culture of responsible research conduct at the Institute and in their field of practice;
- provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct;

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- undertake and promote education and training in responsible research conduct;
- 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;
- ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research;
- engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols;
- adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results;
- retain clear, accurate, secure and complete records of all research including research data and primary materials. Where possible, appropriate and permitted, allow access and reference to these by interested parties;
- disseminate research findings responsibly, accurately and broadly and, where necessary, take action to correct the record in a timely manner;
- disclose and manage actual, potential or perceived conflicts of interest;
- 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;
- acknowledge those who have contributed to the research;
- cite and acknowledge other relevant work appropriately and accurately;
- participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content;
- report suspected breaches of the Code to the relevant institution and/or authority.

Responsibilities of Chief Investigators

Chief Investigators will:

- promote an ethical and responsible research culture, including compliance with all relevant legislative obligations;
- provide guidance and mentorship on the conduct of responsible research to researchers and research higher degree candidates under their supervision;
- monitor the conduct of all research under their supervision;
- comply with the requirements of the National Statement and KOI's Human Research Ethics Procedures;
- disclose all relevant interests related to research activities under their supervision (refer to the KOI's [Conflict of Interest Policy](#), [Conflict of Interest Procedures](#) and [Conflict of Interest Guidelines](#));
- ensure Researchers under their supervision receive appropriate information, instruction, training and supervision to ensure their health, safety and welfare while undertaking research activities;
- assist researchers under their supervision to develop skills needed for engaging in peer review;
- ensure researchers under their supervision receive appropriate information, instruction, training, and supervision with regards to foreign interference, where necessary.

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Responsibilities of the Vice President Academic

The Vice President Academic is responsible for:

- monitoring research and scholarly activity at KOI;
- maintaining records of research and scholarly activity at KOI;
- regular reporting, including an annual report, on research and scholarly activity to KOI's Research and Scholarship Committee;
- performance management of research and scholarly activity of academic staff;
- coordinating research and scholarship agreements with external parties and recommending agreements to the Research and Scholarship Committee for endorsement to the Academic Board.

7. Allegations of breaches of the Code

A breach is a failure to meet the principles and responsibilities of [the Code](#), and may refer to a single breach or multiple breaches. Examples of breaches of the Code may include, but are not limited to one or more of the following:

- not meeting required research standards, including misuse of research funds;
- fabrication, or falsification, or misrepresentation;
- plagiarism;
- failure in research data management;
- failure to provide adequate supervision;
- failure to meet authorship requirements;
- failure to disclose conflicts of interest;
- failure to conduct peer review responsibly.

Any person who suspects a research code breach has occurred must report the allegation in a timely manner in accordance with the Research Integrity and Misconduct Procedures.

Allegations of breaches of the Code will be dealt with in accordance with KOI's Research Integrity and Misconduct Procedures, which are consistent with the [NHMRC Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research](#).

An allegation of misconduct that relates to a Higher Degree Research candidate who is also a staff member will be referred to the Vice President Academic, who will determine which policies and procedures apply with reference to the context and nature of the alleged breach.

8. Associated Information

Legislation and Standards:

- [Australian Code for the Responsible Conduct of Research \(2018\)](#) (the Code);
- [Higher Education Standards Framework \(Threshold Standards\) 2021](#);
- [National Health and Medical Research Council's Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#);
- [The National Statement on Ethical Conduct in Human Research \(2023\)](#) (the National Statement);
- [Voluntary AI Safety Standard \(2025\)](#), Australian Government.

9. Monitoring and Reporting

The Academic Board, supported by the Research and Scholarship Committee, will monitor the effectiveness of the Responsible Conduct of Research Policy through:

- a. monitoring the Policy's implementation and effectiveness, including with reference to related Procedures;
- b. benchmarking of KOI's research and research training standards with other higher education providers.

Document Control

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Changes in this version	<ul style="list-style-type: none"> • Substantial rewrite and updates to all sections and separating Procedures from this Policy