Research Misconduct Procedure

Version	Approved by	Approval date	Effective date	Next full review
2.1	Deputy Vice-Chancellor Research & Enterprise	11 March 2021	11 March 2021	July 2022

Procedure Statement





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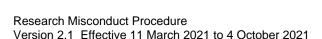
4. Handling complaints about a potential Breach of the Research Code (including Research Misconduct)

Initial Assessment

- 4.1. On receiving the complaint, the DO, or their delegate, must be satisfied that the complaint involves:
 - a) the conduct of research
 - b) a UNSW Researcher/s; and
 - c) a potential Breach of the Research Code
- 4.2. If the complaint does not meet the requirements of clause 4.1 above, it will be referred to other UNSW processes, dismissed or referred to another institution or organisation.
- 4.3. If the complaint meets the requirements of clause 4.1 above, the DO or their delegate, may determine that the matter may proceed to a determination without the need to proceed to a Preliminary Assessment if:
 - a) it may be addressed at a local level. For example, where the matter is an unintentional administrative error, clerical error or oversight and relates to research administration; or
 - b) the respondent has admitted to breaching the Research Code; or
 - c) an investigation has already been undertaken or commenced under another University process or by another organisation; and
 - d) the DO accepts the investigation report and findings of c) above having considered, and is satisfied, that the investigation:
 - i. addresses the concerns/allegations raised in the complaint
 - ii. was conducted within 24 months of the receipt of the complaint by CIO
 - iii. was undertaken by an appropriately qualified individual or organisation; and
 - iv. was undertaken objectively and free from any conflicts of interest.
- 4.4. If the complaint meets the requirements of clause 4.1 and it is not addressed by 4.3, a Preliminary Assessment will proceed.

Preliminary Assessment

4.5. The purpose of the Preliminary Assessment is to gather and evaluate facts and information and to







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