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1. Introduction

This guide supports the implementation of the *Australian Code for the Responsible Conduct of Research* (the Code), which articulates the broad principles and responsibilities that underpin the responsible conduct of Australian research.

In particular, this guide is intended to assist institutions and researchers to adhere to relevant principles of the Code, including:

- Principle 4, 'Fairness in the treatment of others', which requires researchers to treat fellow researchers and others involved in the research fairly and with respect.
- Principle 7, 'Accountability for the development, undertaking and reporting of research'.
- Principle 8, 'Promotion of responsible research practices', which requires researchers to promote and foster a research culture and environment that supports the responsible conduct of research.

The Code and this guide apply to all research conducted under the auspices of Australian institutions. These institutions vary in size, maturity, experience and organisational structure. They range from large and complex universities, to small privately funded institutes. Accordingly, it is acknowledged that di erent institutional policies and processes are capable of fulfilling the aim of this guide and attempts have been made to ensure that there are appropriate options for flexibility in its application.

2. Research supervision

Supervision plays a critical role in the responsible conduct of research. Although researchers at all levels of experience can benefit from guidance on providing and receiving supervision, this guidance is directed principally to supervision of early career researchers, Higher Degree by Research (HDR) candidates, undergraduate students and other research trainees. Supervision may be provided by one or more individuals associated with a single institution or with multiple institutions.

The responsibilities of supervisors are diverse and include maintaining currency in discipline-specific knowledge and practices, as well as setting the highest standards in research design and methodology to assure high quality, reliable, and reproducible research findings. They also include developing and maintaining a working knowledge of the legal and policy frameworks that underpin responsible conduct of research at the disciplinary, institutional, and national levels. Supervision necessarily involves developing a respectful, culturally aware and professional relationship.[1]

A supervisor's duties may include providing mentoring or career advice and assisting those under their supervision to access relevant services.

This guide does not attempt to replace legislation or broader policies or guidance already in place.[2] Rather, it is aimed at ensuring that institutions, supervisors and research trainees understand their obligations and work together to promote the responsible conduct of research.2

3. Responsibilities of institutions

This section provides guidance on the responsibilities that institutions have in relation to supervision of those conducting research under their auspices.

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Institutions are responsible for ensuring that supervisors have appropriate experience and are supported in providing guidance on the responsible conduct of research.[3] Institutions should actively promote supervisory best practice, acknowledging and, as appropriate, rewarding excellence in supervision.

> ***Under he Code, in i ion ha e he re pon ibili o:***
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> *R5   Ensure supervisors of research trainees have the appropriate skills, qualifications and resources.*

Institutions should ensure that supervisors have current knowledge of the methods and content of research in relevant fields or disciplines and are engaged in producing relevant research outputs in, or otherwise making original contributions to, fields or disciplines relevant to the research of those under their supervision.

Institutions should ensure that high quality supervision is recognised as an essential element of research roles within the institution, with expectations commensurate with the seniority and experience of the researchers and students in each supervisory relationship. Institutions should recognise that supervision is an important activity that has an impact on the supervisor's workload and status.

In instances where a HDR candidate is enrolled at an institution, but is conducting research at a secondary institution (including a government agency, hospital, or industry partner), it is the responsibility of the primary institution to ensure that the candidate is provided with adequate supervision.

Institutions should ensure that the number of individuals being supervised does not compromise the supervisor's ability to fulfil their role e ectively and in a timely fashion.

Each institution must provide induction training on research integrity and the responsible conduct of research for all early career researchers, HDR candidates, undergraduate students and other research trainees, as well as to more experienced researchers who are new to supervisory roles. The training content should, at a minimum, incorporate the following:

- the principles and responsibilities of the Code, including the guides developed to support the Code, and obligations around reporting potential breaches of the Code
- the institution's and relevant funding agencies' policies and procedures relating to the responsible conduct of research and to dispute resolution
- research ethics guidelines and requirements, including:
  - the obligations of researchers undertaking research involving human participants
  - the specific obligations of researchers planning to participate in research with Aboriginal and Torres Strait Islander Peoples
  - the obligations of researchers using animals, and
  - relevant procedures for obtaining, and adhering to, ethics approvals
- the value of, and skills required for, engaging responsibly with research end-users including (as appropriate) governments, government business enterprises, businesses, non-government organisations, not-for-profit groups, and consumer and community organisations
- work health and safety requirements
- environmental protection
- technical matters appropriate to the relevant research field(s)/discipline(s)
- responsible use of intellectual property
- guidance for fostering respectful, culturally aware, engaged and e ective collegial and supervisory relationships
- mechanisms for managing concerns, complaints, and breakdowns in supervisory relationships.

Institutions should give this training a high priority, ensuring that supervisors, early career researchers, HDR candidates, undergraduate students and research trainees complete the training as early in thes ses ses s9r3.7 (r)TETEMC /Sp5-13.4 (e)-15.2 (e)-8. O O 9.5 72 4O1.4395 Tm[(I)-1.5 (n)-2r

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Institutional policies should include a mechanism for raising concerns and the fair and timely resolution of disputes about supervision. The policies should include guidance on managing disputes such as those involving power imbalances between supervisors and those under their supervision and between supervisors from di erent institutions who are jointly supervising a researcher.

The parties to the dispute should maintain records of agreements reached through direct dialogue or mediation.

4. Responsibilities of researchers in supervisory roles

This section provides guidance on the responsibilities that researchers have when providing supervision to other researchers.

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Supervisors serve as role models to less experienced researchers and, as such, have obligations to maintain e49d4(e)-11.1TJSp6-10.5.4 (d)-11p   d-13.4 (e)-13.7 (n D8 ()-6 4s t

Under the Code, researchers have the responsibility to:

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