



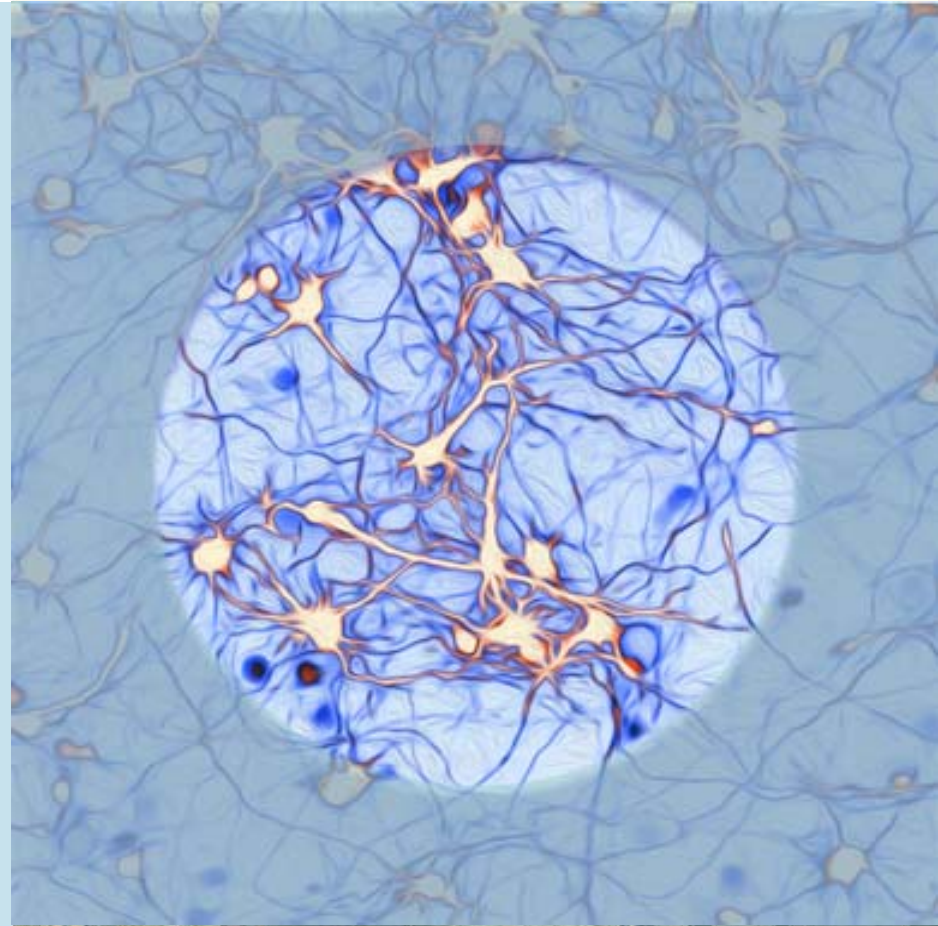
Australian Government

National Health and Medical Research Council

6WCRI
3 June, 2019

Strengthening research
integrity in Australia

Jillian Barr, Director Ethics
and Integrity





Australian Government

National Health and Medical Research Council

This talk:

Introduction to the new Australian Code

Overview of principles and responsibilities

Dissemination and implementation of the Code

Supporting guides

Overview of the Investigation Guide

The role of NHMRC: Strategic Direction

invest in high quality health and medical research and build research capability, supporting the best research and researchers

support the **translation** of health and medical research into clinical practice, policy and health systems and the effective commercialisation of research discoveries

maintain a strong **integrity** framework for research and guideline development, underpinning rigorous research and relevant and accurate guidelines and promoting community trust

Australia's framework for the responsible conduct of research



The Code establishes a framework for responsible conduct in Australia

- In 2018 NHMRC, ARC and UA released a revised Code

The 2018 Code:

- ✓ Supports high-quality research
- ✓ Enhances credibility of research
- ✓ Promotes community trust in research



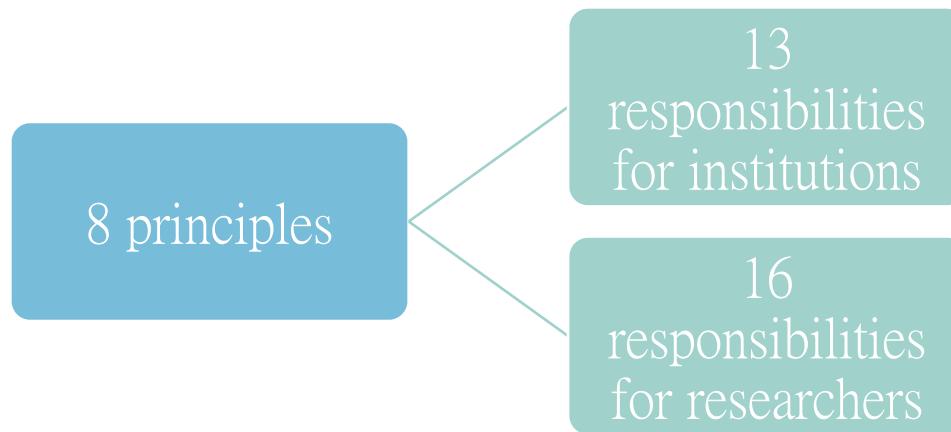
Opportunity for change

- Opportunity to consider whether the 2007 Code was achieving its purpose.
- Consideration of how prescriptive the Code should be.
- Institutions within Australia require differing levels of advice about implementing and applying the requirements of the Code.



A principles-based document to be supported by Guides

The new approach: the Code is a principles-based document with:



- Applicable to all research disciplines at all research institutions.
- The Code will be supported by a number of Guides.
- The first one is the '*Guide to Managing and Investigating Potential Breaches of the Code*'.

Eight principles underpin research integrity

- P1** **Honesty** in the development, undertaking and reporting of research
- P2** **Rigour** in the development, undertaking and reporting of research
- P3** **Transparency** in declaring interests and reporting research methodology, data and findings
- P4** **Fairness** in the treatment of others
- P5** **Respect** for research participants, the wider community, animals and the environment
- P6** **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
- P7** **Accountability** for the development, undertaking and reporting of research
- P8** **Promotion** of responsible research practices

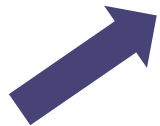
13 responsibilities for institutions

General responsibilities



- R1 Establish and maintain good governance and management practices for responsible research conduct.
- R2 Identify and comply with relevant laws, regulations, guidelines and policies related to the conduct of research.
- R3 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.

Training/advice



- R4 Provide ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles.
- R5 Ensure supervisors of research trainees have the appropriate skills, qualifications and resources.
- R6 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.

Specific areas



- R7 Support the responsible dissemination of research findings. Where necessary, take action to correct the record in a timely manner.
- R8 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.

About investigations



- R9 Facilitate the prevention and detection of potential breaches of the Code.
- R10 Provide mechanisms to receive concerns or complaints about potential breaches of the Code. Investigate and resolve potential breaches of the Code.
- R11 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.
- R12 Support the welfare of all parties involved in an investigation of a potential breach of the Code.
- R13 Base findings of investigations on the balance of probabilities and ensure any actions are commensurate with the seriousness of the breach.

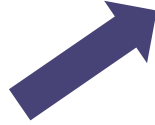
16 responsibilities for researchers

General responsibilities



- R14 Support a culture of responsible research conduct at their institution and in their field of practice.
- R15 Provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct.
- R16 Undertake and promote education and training in responsible research conduct.
- R17 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.

Ethics



- R18 Ensure that the ethics principles of research merit and integrity, justice, beneficence and respect are applied to human research.
- R19 Engage with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols.
- R20 Ensure that the 3Rs (Replacement, Reduction and Refinement) are considered at all stages of research involving animals and minimise the impacts on animals used in research and in so doing support the welfare and wellbeing of these animals.

More specific



- R21 Adopt methods appropriate to the aims of the research and ensure that conclusions are justified by the results.
- R22 Retain clear, accurate, secure and complete records of all research including research data and primary materials. Where possible and appropriate, allow access and reference to these by interested parties.
- R23 Disseminate research findings responsibly, accurately and broadly. Where necessary, take action to correct the record in a timely manner.
- R24 Disclose and manage actual, potential or perceived conflicts of interest.
- R25 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.
- R26 Acknowledge those who have contributed to the research.
- R27 Cite and acknowledge other relevant work appropriately and accurately.
- R28 Participate in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content.

Breaches



- R29 Report suspected breaches of the Code to the relevant institution and/or authority.

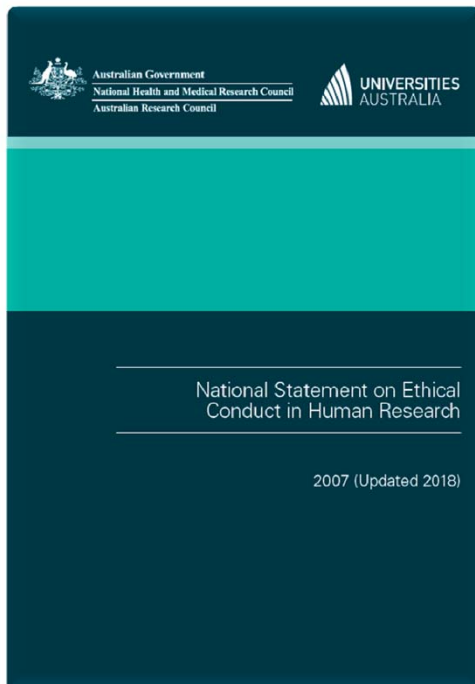
How is the Code disseminated?

- NHMRC and ARC websites
- Webinars
- Gave talks on invitation
- Targeted and public consultation



How is the Code disseminated?

Referred to in key NHMRC documents



FUNDING AGREEMENT		
BETWEEN		
THE COMMONWEALTH OF AUSTRALIA as represented by the NATIONAL HEALTH AND MEDICAL RESEARCH COUNCIL and [INSERT NAME OF ADMINISTERING INSTITUTION] Regarding provision of NHMRC Funding for Research Activities		
Effective 1 October 2015		
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How is the Code disseminated?

Referred to in key NHMRC documents

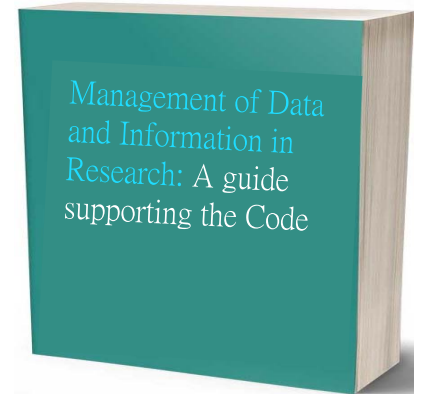
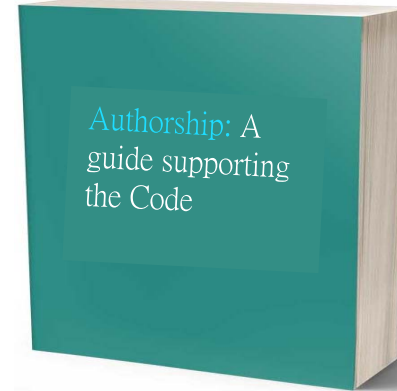


Supporting guides assist institutions to implement the Code

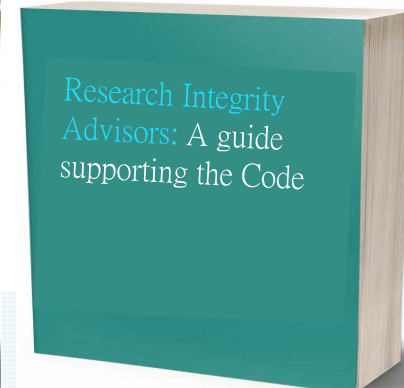
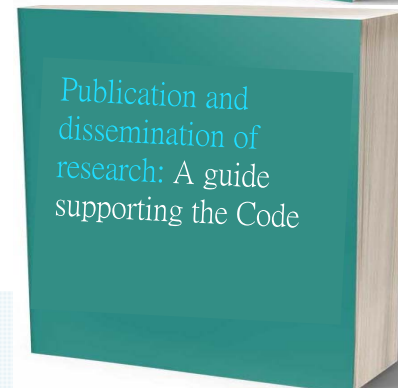
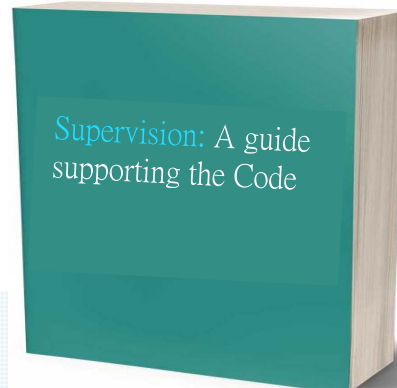
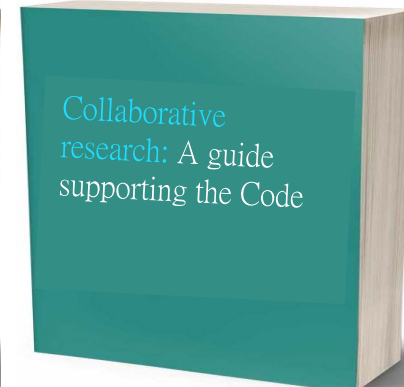
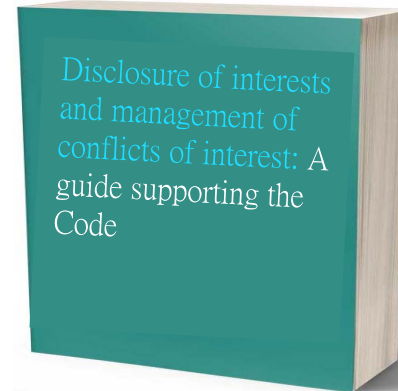
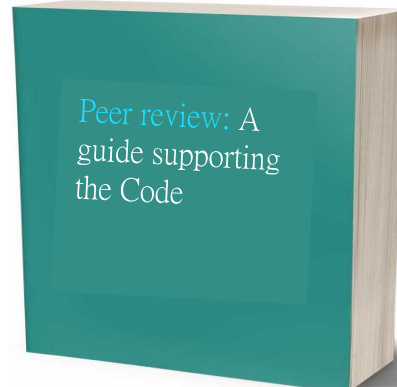
Released with Code:



Coming soon....

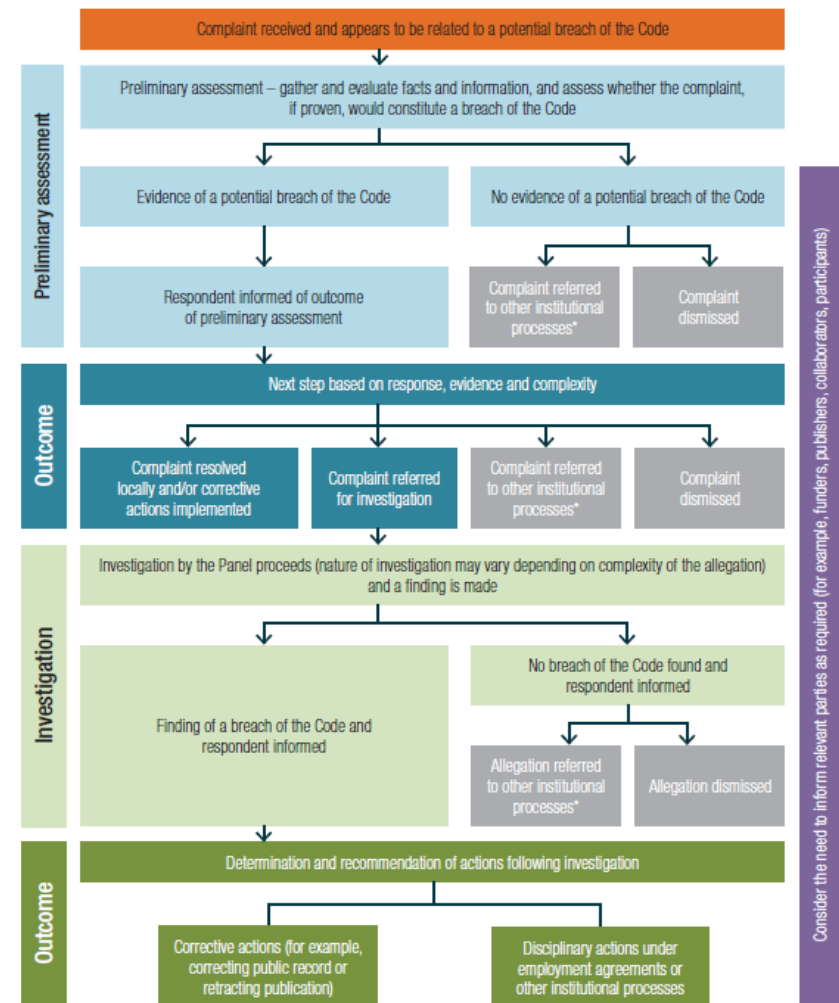


Later....



Overview of the Investigation Guide

- Presents a model process
- Developed based on principles of procedural fairness
- New additions:
 - Spectrum of breaches
 - Advice about Research Integrity Advisors
 - Focus on communication with respondents/applicants
 - Advice on Panel composition





Australian Government

National Health and Medical Research Council

Australian Research Integrity Committee

Advisory Committee to the CEO's of NHMRC and ARC

It reviews the process undertaken by an institution in undertaking an investigation under the Code

Strengthening the membership and operating procedures of ARIC in line with the new Code

Seeing an increasing number of ARIC reviews



Funding agency perspective

Need to promote consistency and transparency within the sector

Provide broad principles that can be understood and applied by everyone

Develop detailed guides so that everyone is clear about expectations

Strong communication with institutions, both in developing the Code and Guides and in implementation



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Thank you

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