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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12. Appendix C: Investigation process

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