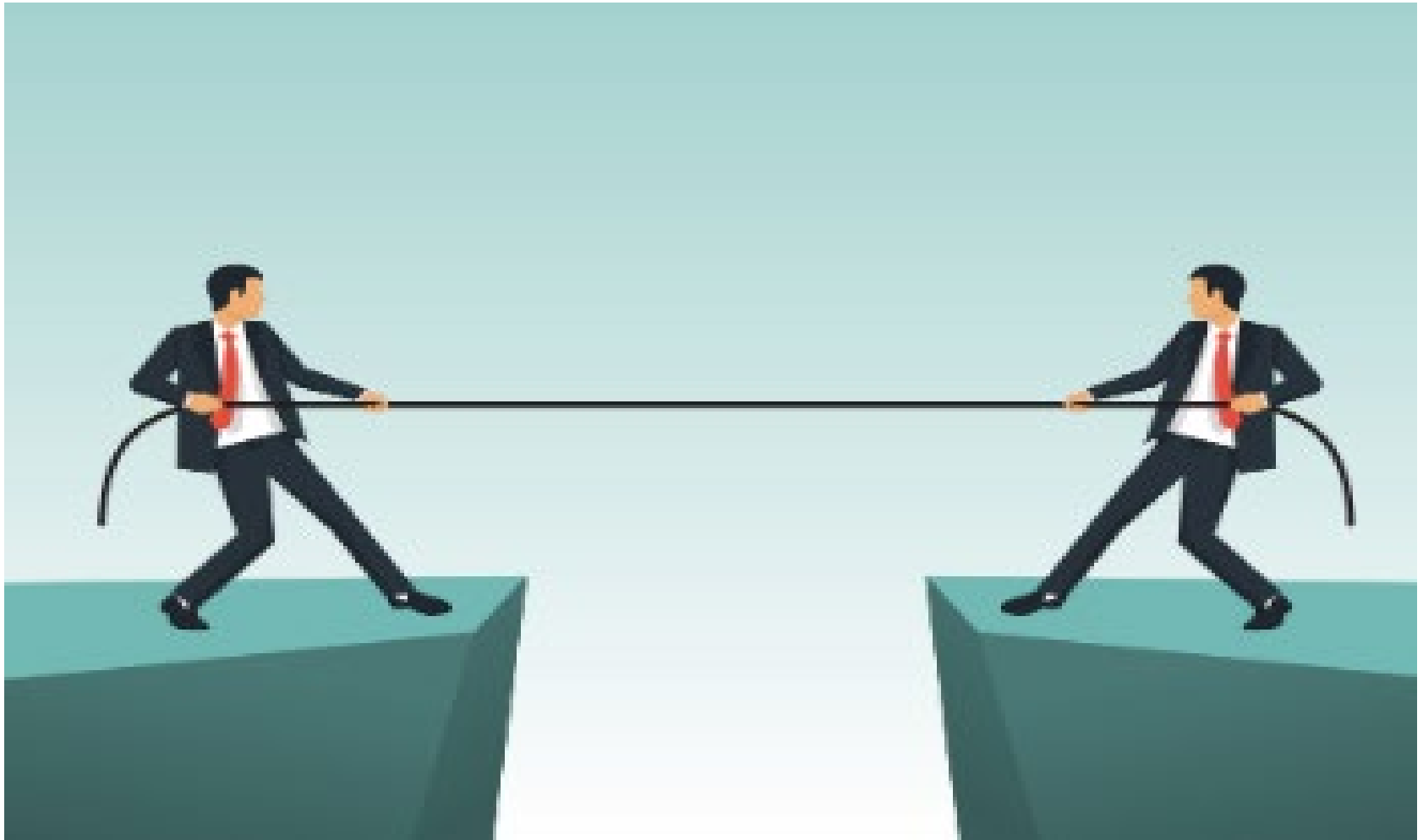




Research Integrity in the Real World

Ms Sara Hubbard

Research Integrity & Employee Conduct

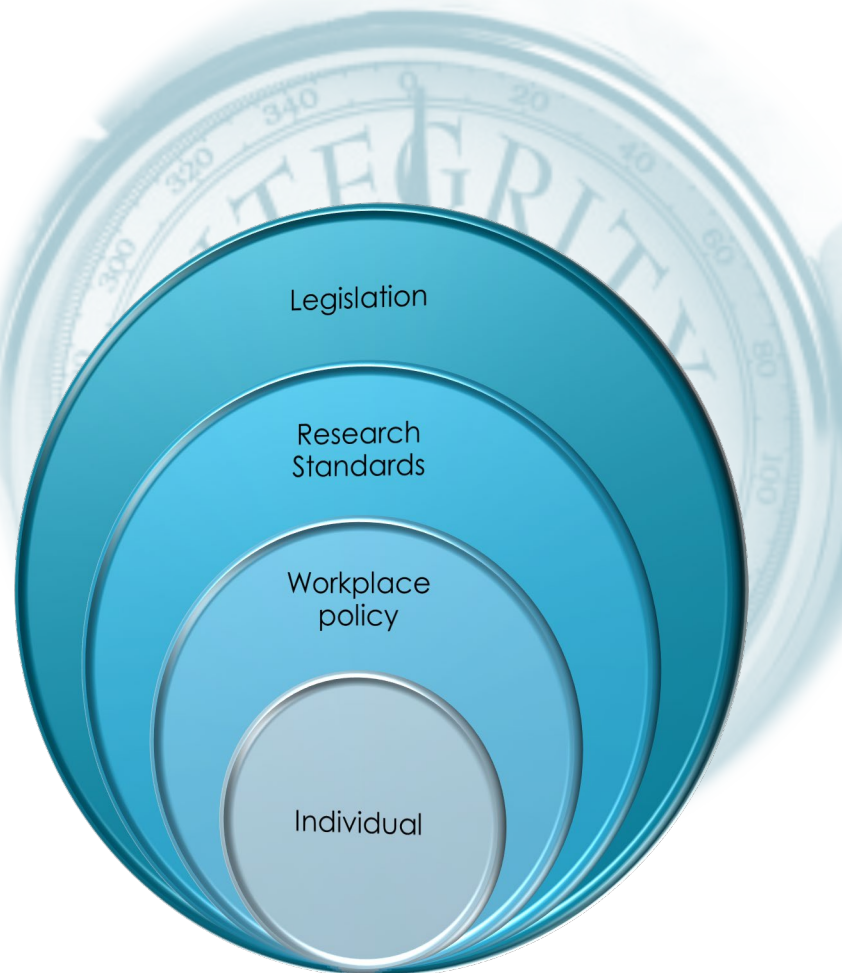


The Code & Workplace Values

How many of these principles appear in your workplace values?

- Honesty, truthfulness
- Rigour, attention to detail
- Transparency, openness
- Fairness, treat others fairly
- Respect, care
- Recognition, diversity, rights of First Nations peoples
- Accountability
- Responsibility

Organisational Framework for Workplace Conduct



Workplace Policy:

Code of Conduct

Employment Contract, Services Contract,

Award, Enterprise Bargaining Agreement

Discipline specific practice regulations (AHPRA, scope of practice)

Supporting Research Guidelines:

Australian Code on Responsible Research Conduct, 2018

National Statement on Ethical Conduct in Human Research, 2007 (updated 2018)

Relevant legislation:

Criminal Code Act 1899

Anti-Discrimination Act 1991

Public Health Act 2005

Public Interest Disclosure Act 2010

Therapeutic Goods Act and Therapeutic Goods Regulations


Hospital and Health Boards Act 2011

Public Sector Act


Information Privacy Act 2009

Privacy Act 1988

Transplantation and Anatomy Act 1979



**Integrity gives you real
freedom because you
have nothing to fear
since you have nothing
to hide**



Case examples

Minor:

- Lost consent form/s

Serious:

- Failure to consent

Determining severity

Ethical Element (Weight of Element)	Nil 0	Minor 1	2	3	Major 4	Weighted Score
Intent (6)	Unintentional, Accidental	Unintentional; failure to take appropriate precautions	Intentional, but with mitigating circumstances, or negligence/carelessness	Knowingly or reckless (i.e. clearly should have known better)	Deliberate	6 x _ = _
Motive (5)	None	Unclear	Benevolence	Self-interest	Malevolent	5 x _ = _
Direct consequence (5)	None	Negligible risk or harm to colleagues, participants, or bystanders	Minimal harm or risk to few colleagues, participants, or bystanders	Minimal harm or risk to several parties; or significant harm or risk to few parties	Serious harm or risk to large number of colleagues, participants, or bystanders	5 x _ = _
Estimated indirect Consequence (3)	None	Negligible, minimal harm	Moderately impacting a few parties	Moderately impacting several parties; or significant impacting a few parties	Widespread uneasiness, causing confusion, <u>unrest</u> or distrust in the community	3 x _ = _
Number of breaches detected in current investigation (2)	None	Single, isolated event of misconduct	A few acts or events	Several acts or events	Multiple acts; pattern of repeated breaches	2 x _ = _
Mitigating factors (2)	Irrefutably acceptable mitigating factor(s)	Strong or clear mitigating factor	Several mitigating factors	Few mitigating factors	No mitigating factors	2 x _ = _
Past breaches (1)	None	One past breach	More than one past breach without warnings	More than one past breach with warnings	Several past incidents with warnings, particularly with repeated breaches of similar type	1 x _ = _
Cooperation during investigation (1)	Full cooperation, clearly remorseful	Largely cooperative, exhibiting clear regret	Some cooperation, exhibiting regret	Little cooperation, withholding of truth, feeling of regret unclear	No cooperation, blatant lying, unrepentant	1 x _ = _
Severity Score	0-10	11-25	26-50	51-75	76-100	
<i>Severity of Breach</i>	<i>Minor. No misconduct</i>	<i>Minor – Mild</i>	<i>Moderate</i>	<i>Significant-Serious</i>	<i>Serious</i>	

Resources

Public sector [conduct and performance excellence \(CaPE\) framework](#)

Research Misconduct severity matrix:

- Nicole Shu Ling Yeo-The & Bor Luen Tang (2021): A research misconduct severity matrix that could serve to harmonize adjudication of findings, Accountability in Research. DOI: 10.1080/08989621.2021.1917398.
- THHS Procedure & Matrix - [Research complaints and misconduct management](#)

[Queensland Health Privacy Breach Management](#)

And, your organisation's policies for managing

- Complaints
- Clinical Incidents
- Legislative breaches

