

Research Integrity Maturity Model

	Institutional Culture	Roles and Responsibilities	Systems	Processes	Capability and Capacity	Training and Education	Evaluation and Improvement
Level 5- Holistic approach to research quality	Researchers and the institution view research integrity as a key component of research quality and adopt and implement the principles, including reflecting good research practices, on a day-to-day basis; Supervisors recognise their role as mentors of junior staff, are proponents of good research practices, and feel empowered and resourced to incorporate this responsibility;						
Level 4- Fully integrated	Robust research integrity framework which incorporates a clear understanding of questionable research practices is implemented and supported; institution committed to following the Code and correcting the public record or repaying funding where necessary; institution ensures barriers that may prevent researchers from raising concerns are removed.	Alternate Designated Officer(s); relationships established with regulatory agencies; broad network of experienced consultants who can be called upon to participate in investigations or improve research integrity framework where necessary.	Mechanism for receiving, triaging (may include legal input), allocating and responding to anonymous complaints.	Legal oversight during established process for informing external agencies; a suite of policies and procedures that support effective research governance including handling anonymous complaints, managing authorship disputes, disclosing and managing conflicts of interest and managing research records, data and primary materials. Prescribed periodic review of processes and mechanism in place for internal or external review of decisions	Personnel supporting research integrity attend training/conferences and undergo continuous professional development; participation in research integrity network or research management society; knowledge acquired through evidence-based training design or case management can be published or presented at conferences.	Dedicated Training Officer to support research integrity training; structured training available for Designated Officer; training developed through evidence-based/co-design approaches.	Research Integrity Office seeks feedback from complainants on completion of preliminary assessments/investigations; metrics associated with previously reported cases used to tailor training material, routine evaluation of training effectiveness through surveys and other feedback mechanisms; strength of research integrity framework to be compared to other institutions globally and adapted/improved where necessary.
Level 3- More Advanced	Senior Executive of the Institution aware of the importance of effective research governance; researchers aware of resources in place to support research integrity and mechanisms available to report concerns.	Established Research Integrity Office including Designated Officer and Assessment Officer(s); Research Integrity Advisor(s) providing guidance to individuals wanting to make a complaint; option available to engage external consultant(s).	Mechanism for receiving and managing complaints electronically;	Tried and tested procedures for raising concerns and managing potential breaches of the Code; consideration of the need to inform external agencies. Potential for internal or external review of decisions or processes	Cases fully investigated within appropriate timeframes; Research Integrity Office has significant experience in handling both major and minor cases.	Research integrity training conducted through more than one modality; structured training available for Research Integrity Advisors.	Continuous improvement of policies and procedures, Research Integrity Office seeks to incorporate feedback from researchers received through surveys, anonymous suggestion box, town hall meetings etc.
Level 2- Intermediate	Senior Executive of the Institution have some awareness of the need for research governance; limited resources allocated towards supporting research integrity; researchers may not be aware of mechanism to report concerns.	Part-time or full time Assessment Officer; may have Designated Officer; may have Research Integrity Advisor; no involvement of external consultant(s).	Use of emails to lodge complaints/ raise issues; may be intranet/ internet page dedicated to research integrity	Institutional policy on responsible conduct of research and procedures for managing and investigating potential breaches of the Code.	Single point of contact to manage and investigate complaints; personnel supporting research integrity may have dealt with some issues, none serious.	Annual online training and assessment for researchers; may not have training for Research Integrity Advisors.	Ad-hoc review of information related to research integrity available on intranet.
Level 1- Basic	Senior Executive of the Institution unaware of the need for resources to support research integrity; limited overall awareness of research integrity; researchers uncertain of how to report concerns.	No defined role or responsibility for research integrity. Institution relies on freely available resources from external agencies or institutions.	No formal system for lodging or handling complaints/ raising issues	Knowledge of the <i>Australian Code for the Responsible Conduct of Research</i> (Code).	No or minimal ability to receive or handle complaints.	Ad hoc training may be conducted through informal modalities; not necessarily tailored to meet the needs of the institution.	No or minimal evaluation or improvement.

Document Controls

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