Research Integrity and Research Misconduct Policy

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Message from the Chief Executive Officer

The mission of the Australian Research Council (ARC) is to deliver policy and programmes that advance Australian research and innovation globally and benefit the community.

To achieve our mission, and maintain strong and valued relationships with our stakeholders, we aim to ensure that the research we fund is conducted to the highest ethical standards.

The ARC is not a regulatory body and does not investigate allegations of integrity breaches or research misconduct. Under the Australian Code for the Responsible Conduct of Research 2007 (the Code), this is the role of research institutions. However, the ARC has an interest in these matters as they have the potential to undermine the integrity of the ARC’s processes, funding recommendations and/or research outcomes. More importantly, they have the ability to undermine confidence in the value of publicly funded research.

The Code explains how institutions must respond to an allegation that research has not been conducted in a responsible manner. Under the Code, institutions should inform relevant parties, including funding organisations such as the ARC, of the findings from research misconduct inquiries, and actions taken as a result. This policy outlines when and how ARC-funded institutions (mainly Australian Universities) should report information regarding research integrity breaches or research misconduct to the ARC, and how other parties can report research integrity-related allegations to research institutions through the ARC.

The ARC values the efforts of institutions in ensuring that responsible research practices are maintained. In implementing this policy, we look forward to an open and constructive dialogue with institutions regarding research integrity and research misconduct matters. In doing so, we are committed to protecting privacy and confidentiality.

If you have any questions about this policy or the handling of research integrity or research misconduct matters by the ARC please contact the ARC (02 6287 6600) and ask for the Research Integrity Officer. Alternatively you can send an email to researchintegrity@arc.gov.au marking your correspondence for the attention of the Research Integrity Officer.

Professor Aidan Byrne
Chief Executive Officer
1. Introduction

1.1 The Australian Research Council

The ARC is a Commonwealth entity established under the *Australian Research Council Act 2001*, which operates within the Australian Government’s Education portfolio. Its mission is to deliver policy and programs that advance Australian research and innovation globally and benefit the community.

In seeking to achieve its mission, the ARC provides advice to the Government on research matters and manages the National Competitive Grants Program (NCGP) and Excellence in Research for Australia (ERA).

Through the NCGP, the ARC supports the highest-quality research and research training across all disciplines through national competitive processes. ERA assesses research quality within Australia's higher education institutions and gives government, industry, business and the wider community assurance of the excellence of research conducted. It provides a national stocktake, by research discipline areas, of research strength against international benchmarks.

1.2 Stakeholders

The primary ARC stakeholders are:
- the Australian Government
- institutions and researchers within the higher education sector
- various partner organisations, such as in industry, the community and public sector fields

Other stakeholders include:
- the Australian community
- peak bodies with an interest in research
- professional and disciplinary associations
- other research funding agencies
- publicly funded research agencies
- business and industry groups
- the media

1.3 Purpose of policy

The ARC expects the highest standards of integrity in all aspects of research it funds. Research must be conducted according to appropriate ethical, legal and professional frameworks, obligations and standards in a research environment underpinned by a culture of integrity. These standards also apply to the application processes for ARC funding.

Instances of research misconduct have the potential to undermine public confidence in ARC processes, funding recommendations or research outcomes.

The ARC’s business processes also rely on individuals of the highest integrity to conduct ARC business, assess research proposals and evaluate research excellence.
The purpose of this policy is to:

- safeguard confidence in the value of publicly funded research;
- make transparent the ARC’s role in research misconduct matters;
- safeguard the integrity of the ARC’s grant application, peer review, grant selection and research evaluation processes, funding recommendations and research outcomes; and
- raise the awareness of the importance of research integrity and of the possible consequences for institutions and for individuals if appropriate standards are not maintained.

For detailed descriptions of research integrity and research misconduct as they apply in this policy please refer to section 3.

A review of the Research Integrity and Research Misconduct Policy will be undertaken annually. The policy will also be reviewed immediately after any changes are made to the Code, which may delay or bring forward an annual review.

1.4 Privacy

The ARC respects privacy, confidentiality and procedural fairness. In managing information related to issues of research integrity or research misconduct we will manage personal and private information in accordance with the Privacy Act 1988.

The ARC will not disclose any confidential information collected under this policy without the consent of the institution or individual the information relates to. The ARC will not be taken to have breached its obligations to the extent that the ARC discloses confidential information:

a) to its officers, employees, agents, external professional advisers or contractors solely to comply with obligations, or to exercise rights, under this Policy;

b) to its internal management personnel solely to enable effective management or auditing of a Funding Agreement, Scheme or the NCGP;

c) for a purpose directly related to the enforcement or investigation of a possible breach of any Commonwealth, State, Territory or local law;

d) to the Minister, or in response to a demand by a House or a Committee of the Commonwealth Parliament;

e) within the ARC, the Department or another Commonwealth entity or authority, where this serves the ARC’s, the Department’s or the Commonwealth’s legitimate interests;

f) as required or permitted by any other law, or provided for under a contract; or

g) that is in the public domain.

1.5 Public Interest Disclosure

The Public Interest Disclosure Act 2013 (the PID Act) is an Act to facilitate disclosure and investigation of wrongdoing and maladministration in the Commonwealth public sector. The ARC encourages and supports the reporting of wrongdoing by public officials in accordance with the PID Act.

A public official can disclose information that they believe on reasonable grounds tends to show ‘disclosable conduct’. This means conduct by an agency, a public official or a contracted Commonwealth service provider (in connection with the Commonwealth contract) that is misconduct relating to scientific research, analysis or advice.
2. Policy

2.1 Scope

In order to safeguard the integrity of the ARC’s peer review, grant selection and research evaluation processes, funding recommendations and research outcomes, this policy requires institutions to report to the ARC the details of research integrity or research misconduct matters which have been investigated and resulted in corrective or disciplinary actions being taken. It also describes pathways via the ARC through which allegations of research integrity breaches can be referred to institutions for investigation.

This policy complements and supports all ARC Funding Rules, which require compliance with the following, and their successor, documents:

- the NHMRC/ARC/UA *Australian Code for the Responsible Conduct of Research (2007)*
- the NHMRC/ARC/AVCC *National Statement on Ethical Conduct in Human Research (2007)*
- the NHMRC *Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (2003)*
- the Australian Institute for Aboriginal and Torres Strait Islander Studies *Guidelines for Ethical Research in Australian Indigenous Studies (2012)*
- the NHMRC/ ARC/ CSIRO *Australian code for the care and use of animals for scientific purposes, 8th edition (2013)*;
- Commonwealth and/or State or Territory legislation; and,
- best practice guidelines relevant to the research being undertaken, as outlined in the Funding Rules and Funding Agreements for each ARC scheme.

The policy applies to:

- all institutions currently applying for funding, or that have received ARC funding in the last seven years;
- individuals who have been named as investigators on ARC proposals that are under assessment at the time of the allegation;
- individuals who have been named as investigators on ARC funded projects, and any associated project personnel, whether the allegation relates to the ARC funded activity or not; and,
- ARC employees and anyone engaged on ARC business such as, ARC College members, Selection Advisory Committee members, external assessors and contractors.

This policy does not apply to institutions that are ineligible to apply for, or receive, ARC funding unless the research integrity or research misconduct matter relates to research conducted in collaboration with an institution as part of an ARC Funding Agreement.

2.2 ARC roles and responsibilities

Research Integrity Officer

The ARC Research Integrity Officer is the point of contact for all matters within the scope of this policy, and is responsible for all associated administrative arrangements within the ARC. Individuals or institutions with questions regarding any matters in this policy, or anyone wishing to report an allegation, may contact the Research Integrity officer via the details provided in the Contacts section.

ARC Chief Executive Officer (CEO)

The ARC CEO is responsible for making decisions regarding potential sanctions that may be applied as permissible by law if the integrity of the ARC’s processes, funding
recommendations or research outcomes are considered at risk, or where there are other financial, health, safety or other risks as a result of an alleged or proven research integrity breach or research misconduct. The CEO will be advised by senior ARC staff, the Research Integrity Officer and Legal Counsel, as appropriate.

3. What is research integrity breach or research misconduct?

3.1 Definition of a research integrity breach

For the purposes of this policy, an “integrity breach” is a breach of or deviation from any of the principles contained in the documents listed under section 2.1 of this policy, which may include research misconduct.

3.2 Definition of research misconduct

Research misconduct includes fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research, and failure to declare or manage a serious conflict of interest. It includes avoidable failure to follow research proposals as approved by a research ethics committee, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment. It also includes the wilful concealment or facilitation of research misconduct by others.

A complaint or allegation relates to research misconduct if it involves all of the following:\1:

- An alleged breach of the Code.
- Intent and deliberation, recklessness or gross and persistent negligence.
- Serious consequences, such as false information on the public record, or adverse effects on participants, animals or the environment.

OR

- Repeated or continuing breaches of the Code may also constitute research misconduct, and do so where these have been the subject of previous counselling or specific direction.

OR

- Failure by supervisors or heads of departments to address issues properly may in itself represent misconduct.

Examples of research integrity breaches or deviations from the Code which may constitute misconduct include, but are not limited to:

- fabrication of results
- falsification or misrepresentation of results
- plagiarism
- misleading ascription of authorship (including in an application)
- fraud
- failure to declare and manage serious conflicts of interest
- falsification or misrepresentation to obtain funding
- conducting research without ethics approval(s) as required (human and/or animal)

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1 Section 10 of the Code
• avoidable failure to follow research protocols as approved by a properly constituted research ethics committee
• unreasonably risking the safety of human participants, or the wellbeing of animals or the environment
• deviations from the Code that occur through gross or persistent negligence
• wilful concealment or facilitation of research misconduct by others.

4. Reporting a research integrity breach or research misconduct

This section outlines the reporting requirements, including when and what to report, and processes for institutions, individuals, and persons engaged on ARC business, for example peer reviewers, or ARC College members. For any questions regarding these processes, please see the Contacts section on page 14. Details on what information may be required and how to report allegations are provided at section 9.

4.1 Reporting requirements for issues identified by institutions

The ARC delivers funding under its programmes to Administering Organisations, not to individual researchers. Under the Code, institutions are expected to maintain a climate in which responsible and ethical behaviour in research, including for the good stewardship of public resources used to conduct research. It is the responsibility of institutions to investigate alleged cases of research misconduct as they arise. The Code requires institutions to have a written policy on receiving complaints or allegations related to research. In serious cases, institutions will establish internal or independent, external inquiries to investigate allegations.

Institutions must inform the ARC within 10 working days when:

• an allegation of a research integrity breach or research misconduct is proven (and not contested) without the need for a formal research inquiry to be established; and/or
• a formal, internal or external research misconduct inquiry is commenced; and/or
• a formal, internal or external research misconduct inquiry is concluded (regardless of whether an allegation is proven or dismissed); and/or
• an institution has suspended funding to an individual or team involved in ARC funded research whilst an assessment or inquiry relating to research integrity or research misconduct is underway.

The ARC is not required to be informed when:

• an allegation of a research integrity breach or research misconduct is made to an institution;
• an institution is undertaking a preliminary assessment of a research integrity breach or misconduct allegation; or
• an allegation is dismissed without the need for a formal inquiry to be established.

Section 1 of the Code
Institutional reporting requirements to the ARC are summarised below:

Where a matter directly relates to an ARC-funded research project, institutions must also notify the Administering Organisation if findings of research integrity breaches or research misconduct requiring corrective or disciplinary action have occurred. The Administering Organisation should then notify any other participating organisations, including Partner Organisations, involved in the project.

Sufficient information should be provided to enable the ARC to identify the funded project, individuals alleged to have committed the integrity breach(es), and an outline of what the alleged integrity breach(es) entails as a minimum, to allow the ARC to determine whether the allegations or findings have the potential to undermine the integrity of the ARC’s processes, funding recommendations, research outcomes, or confidence in the value of publicly funded research. Institutions should provide any further information as requested by the ARC.

The ARC will keep confidential records of all matters under this section of the policy.

The ARC reserves the right to refer matters to the Australian Research Integrity Committee (see section 6).

Further reporting processes and requirements are set out in sections 4.2 and 4.3 of this policy.

**4.2 Reporting requirements for issues identified by ARC employees and others engaged on ARC business**

ARC employees and anyone engaged on ARC business, such as ARC College members, Selection Advisory Committee members, external assessors and contractors, are required to report alleged breaches of research integrity or research misconduct issues identified in relation to ARC funded business to the ARC Research Integrity Officer.

The Research Integrity Officer will refer the allegation to the relevant institution for investigation in accordance with the requirements of the Code. Sufficient information should be provided to enable the institution to progress an investigation into the allegation (if required).

Where an allegation is referred to an institution by the ARC, that institution is required to promptly confirm the matter is being investigated and report to the ARC the outcome of the preliminary assessment of the allegation within 30 working days, including if the allegation has been dismissed. If the outcome of the preliminary investigation is not finalised within 30 working days, please contact the ARC Research Integrity Officer to discuss an extension.
The reporting requirements set out in section 4.1 of this policy also apply—institutions must inform the ARC **within 10 working days** when:

- an allegation of research integrity breach or research misconduct is proven (and not contested) without the need for a formal research misconduct inquiry to be established;
- a formal, internal or external research misconduct inquiry has commenced;
- a formal, internal or external research misconduct inquiry has concluded (regardless of whether an allegation is proven or dismissed); and/or
- an institution has suspended funding to an individual or team involved in ARC funded research whilst an assessment or inquiry relating to research integrity or research misconduct is underway.

Institutional reporting requirements to the ARC for allegations referred by the ARC are summarised below.

The ARC will keep confidential records of all matters it refers to institutions under this section of the policy.

The ARC reserves the right to refer matters to the Australian Research Integrity Committee (see section 6).

### 4.3 Reporting of issues identified by members of the public

The ARC is not a regulatory body and does not investigate allegations of breaches of the Code or research misconduct unless in relation to misuse of funding—this is the role of the relevant research institution.

Members of the public are encouraged to notify the ARC of alleged research integrity breaches or research misconduct. The ARC will refer these to the relevant research institution to investigate the alleged integrity breach in accordance with requirements of the Code.

Sufficient information should be provided to enable the institution to progress an investigation into the allegation (if required). Anonymous allegations will be considered, but may limit the ability of an institution to investigate a matter or for feedback to be provided as to whether the allegation has been resolved.

The ARC will notify the individual that the matter has been referred to the relevant institution. The ARC expects that any allegation referred under this section of the policy will be investigated promptly by the relevant institution, and that the institution will provide sufficient assurance to the individual who made the allegation that the matter has been addressed.

Eligible Organisations are required to report to the ARC on matters it has referred from the members of the public in accordance with section 4.1 of this policy.
Institutional reporting requirements for allegations referred by the ARC from a member of the public are summarised below:

The ARC will keep confidential records of all matters referred to in institutions under this section.

The ARC reserves the right to refer matters to the Australian Research Integrity Committee (see section 6).

**5. Options for referral to other external processes**

Individuals have the right to refer matters to the Australian Research Integrity Committee (see section 6) or an external agency at any time; examples of which include:

- Commonwealth Ombudsman
- Privacy Commissioner
- Australian Information Commissioner
- Industrial review boards
- Human rights agencies

**6. The role of the Australian Research Integrity Committee (ARIC)**

The Australian Research Integrity Committee (ARIC) provides a review system of institutional processes to respond to allegations of research misconduct. ARIC was jointly established by the ARC and the National Health and Medical Research Council (NHMRC). While the ARC and NHMRC provide secretariat support to ARIC, it acts as an independent body.

If a research misconduct investigation or inquiry process has been finalised by the Administering Organisation, but an individual is unsatisfied with the process of that investigation they may wish to refer their allegation to ARIC. Additionally, in instances where institutional delay and/or inaction is alleged, an ARIC panel may be able to review whether the delay is unreasonable or breaches the Code. Further information about the ARIC is available on the ARC website at [www.arc.gov.au](http://www.arc.gov.au).
7. ARC sanctions

7.1 Processes for and the application of ARC sanctions

The ARC may apply sanctions if it considers that the integrity of its peer review processes, grant selection processes, funding recommendations and research outcomes have the potential to be compromised, or if confidence in the value of publicly funded research is potentially undermined. The ARC Chief Executive Officer (CEO) is responsible for making decisions regarding the nature and application of legally permissible sanctions.

The CEO may apply sanctions (including precautionary sanctions) once notified by an institution that a research misconduct inquiry (internal or external) has commenced and/or once the outcomes of a research integrity breach or research misconduct inquiry (including corrective actions if applicable) have been reported to the ARC. The CEO may also apply sanctions (including precautionary sanctions) in response to a research integrity breach or research misconduct allegation identified by an individual employed by the ARC or otherwise engaged on ARC business.

Sanctions applied by the CEO will be proportionate to the nature and potential consequences of the research integrity breach or research misconduct and will take into account any corrective measures already taken by the institution. The CEO may also take into account whether a matter is subject to further review by ARIC or another body.

Sanctions may include, but are not limited to:

- suspending, ceasing or recovering any or all ARC funding relating to a Funding Agreement(s); and/or
- suspending or ceasing the progression of ARC grant proposals; and/or
- suspending or removing individuals from ARC business; and/or
- preventing individuals from being engaged in ARC business.

The following diagram provides an example of the processes in determining the application of financial sanctions where the ARC has received notification of an alleged research integrity breach or possible incident of research misconduct.
ARC notified of possible research integrity breach and/or research misconduct

- Directly relates to ARC-funded research:
  - Institution freezes funds whilst inquiry underway
  - ARC notified
  - ARC freezes any further payments consistent with institutional response
  - Allegation dismissed
  - ARC notified
  - Allegation-related funding suspension removed
  - Allegation proven
  - ARC notified
  - Institutional response acknowledged and accepted
  - No further action by ARC

- Does not directly relate to ARC-funded research:
  - Allegation dismissed
  - ARC notified
  - Institutional response acknowledged and accepted
  - No further action by ARC
  - Allegation proven
  - ARC notified
  - Consideration by ARC of available sanctions
  - No further action by ARC
  - 1. ARC funding to researcher/project suspended
  - 2. ARC seeks partial or full recovery of ARC funds
  - 3. Suspension of ARC funding to institution

1. ARC funding to researcher/project suspended
and/or
2. ARC seeks partial or full recovery of ARC funds
and/or
3. Suspension of ARC funding to institution
7.2 Appeals

If an institution or individual wishes to appeal a sanction, appeals must be lodged, in writing, through the relevant institution’s Designated Person (under Section 10.3 of the Code).

The appeal must be received by the ARC, within 28 days of the date the Administering Organisation is notified of a decision by the ARC CEO to impose a sanction. The appeal should be sent to:

Email: researchintegrity@arc.gov.au

Mail: The Research Integrity Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

Appellants should provide the ARC with all the information necessary to enable the appeal to be considered without the need for further written or oral explanation or reference to additional material. More information can be found in the ARC Complaints Handling and Appeals Policy and procedures on the ARC website.

8. Contacts

For any questions regarding this policy, please contact the ARC on the details below. To notify the ARC of an alleged integrity breach or misconduct, please see our requirements at section 9.

By phone
You can telephone the ARC during business hours (except public holidays) on 02 6287 6600. Please ask for the Research Integrity Officer.

By email
You can email the Research Integrity Officer at researchintegrity@arc.gov.au

By mail
You can write to the ARC at:

The Research Integrity Officer
The Australian Research Council
GPO Box 2702
CANBERRA ACT 2601

In person
The ARC office is located at 11 Lancaster Place, Canberra Airport, Canberra. The reception (Level 2) is open Monday – Friday from 9am – 5pm AEST, excluding public holidays and public service holidays. Appointments are recommended to ensure appropriate staff availability.
9. Notification form for an allegation of research integrity breach or misconduct

Instructions

This form is provided to assist you in determining what information to report. Whilst the use of this form to report allegations of research integrity breaches or misconduct is not mandatory, the information specified in the fields is required for the ARC to be able to adequately and accurately identify the issues, the parties involved and the appropriate action.

To report issues through other means, please see the Contacts section of the policy (page 14).

This form is for:
- Making a complaint or allegation about a breach of research integrity or research misconduct (hereafter all referred to as an “integrity breach”). For more information on the ARC Research Integrity and Research Misconduct Policy, please see www.arc.gov.au/general/research_misconduct

This form is not for:
- Reporting other areas of concern unrelated to the conduct of research itself, such as workplace bullying and harassment. Please contact the responsible institution to report these matters.
- If the institution has already completed an investigation on the breach of integrity, and you are dissatisfied with the processes that were undertaken, this is a matter for the Australian Research Integrity Committee (ARIC). For more information on ARIC and how to register a request for review by the Committee, please see www.arc.gov.au/general/research_integrity_committee

What to complete

To be able to pursue an allegation a minimum amount of information that is required: please complete all fields marked with an asterisk*. Please note that if these required fields are not completed, or there is inadequate information to be able to identify the researcher or project which it is alleged the incident is associated with, it may limit what action or referral the ARC or an institution is able to take.

What happens next?

Under the Australian Code for the Responsible Conduct of Research (ARC, NHMRC, AVCC, 2007) institutions are responsible for investigating breaches of integrity. In most instances ARC will refer the matter to the institution, and request that they provide a report of the outcome.

Individuals/complainants:

If you have provided your contact details, we may be able to provide you with a summary of the outcome, within the constraints of privacy and confidentiality.

Institutions:

Thank you for reporting the allegation you have received. The Research Integrity Officer will provide you with a receipt and will be in contact to discuss the next steps.
1. Details of (Primary) Person alleged to have committed the integrity breach(es)

<table>
<thead>
<tr>
<th>Title:</th>
</tr>
</thead>
<tbody>
<tr>
<td>*Family name:</td>
</tr>
<tr>
<td>*Given name:</td>
</tr>
<tr>
<td>*Organisation:</td>
</tr>
<tr>
<td>Postal address:</td>
</tr>
<tr>
<td>Contact number(s):</td>
</tr>
<tr>
<td>Email:</td>
</tr>
</tbody>
</table>

2. Details of (Secondary) Person alleged to have committed a research integrity breach (if applicable)

Complete this section if applicable; if further persons are implicated, please add details in additional comments section

<table>
<thead>
<tr>
<th>Title:</th>
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</thead>
<tbody>
<tr>
<td>Family name:</td>
</tr>
<tr>
<td>Given name:</td>
</tr>
<tr>
<td>Organisation:</td>
</tr>
<tr>
<td>Postal address:</td>
</tr>
<tr>
<td>Contact number(s):</td>
</tr>
<tr>
<td>Email:</td>
</tr>
</tbody>
</table>

3. Research project details

Please provide a brief outline of the research project and/or a title.

<table>
<thead>
<tr>
<th>ARC Grant ID(s)</th>
<th>If applicable, please list the ARC grant the alleged integrity breach is associated with.</th>
</tr>
</thead>
</table>

4. Has funding to the individual or ARC funded project been suspended by the institution?

Institutions must complete this field

☐ Yes
☐ No
☐ Unsure
5. *Institution at which the integrity breach is alleged to have occurred:

This allegation has also been lodged with the institution above

☐ Yes
☐ No
☐ Unsure

Institutional reference number for the investigation/complaint (if applicable/known):

6. Nature of alleged integrity breach:
*Please indicate all that apply (minimum of 1 must be selected)

☐ Fabrication of results
☐ Falsification or misrepresentation of results
☐ Plagiarism
☐ Misleading ascription of authorship (including in an application)
☐ Fraud
☐ Failure to declare and/or manage serious conflicts of interest
☐ Falsification or misrepresentation to obtain funding
☐ Conducting research without ethics approval(s) as required (human and/or animal)
☐ Avoidable failure to follow research proposals as approved by a properly constituted research ethics committee
☐ Risking the safety of human participants, or the wellbeing of animals or the environment
☐ Deviations from the Australian Code for the Responsible Conduct of Research that occur through gross or persistent negligence
☐ Wilful concealment or facilitation of research misconduct by others
☐ Other- please specify:______________________________________________

7. Details of alleged integrity breach:
Please provide a brief outline of what is alleged to have occurred (500 word limit).

8. When did the alleged breach(es) occur?
Please provide date(s) of the alleged breach(es), or as close an approximation as possible, and their frequency/duration.

*Date(s)_______________________________________________________________

*Frequency/ Duration
☐ Single incident
☐ Repeated incidents
☐ Continuous (approximate amount of time) _________________________________
9. Details of Person lodging the allegation

To be able to provide you with any feedback, notify you of the outcome, within the limits of privacy and confidentiality constraints, or if ARC requires any more information, please provide your contact details below. Institutions- please provide the name and details of the central contact person you wish the ARC Research Misconduct Officer to deal with regarding this matter.

<table>
<thead>
<tr>
<th>Title:</th>
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<tbody>
<tr>
<td>Family name:</td>
</tr>
<tr>
<td>Given name:</td>
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<td>Organisation:</td>
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<tr>
<td>Postal address:</td>
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<tr>
<td>Contact number(s):</td>
</tr>
<tr>
<td>Email:</td>
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</tbody>
</table>

10. Was the alleged integrity breach identified as part of ARC business?

☐ Yes ☐ No

If yes, please provide details here, ie identify whether you are an ARC employee, or engaged on ARC business such as a peer reviewer, ARC College member, Selection Advisory Committee members or contractor, and note what ARC business you were undertaking when you identified the alleged integrity breach/ misconduct.

11. In the space below, please provide any additional information or comments.

12. Attach copies of any relevant documents. Please list the documents that you have attached:

The ARC is committed to the principles of procedural fairness, which involves informing the people being complained about of the allegations against them and then giving them the right to respond. Procedural fairness also requires that the investigating parties will approach your case without bias, will not have a personal interest in the outcome and will only take action based on evidence.
What this means is that we would normally send a copy of the allegation to the institution responsible for investigating the issue, which is likely to be communicated to the person having the allegation made against them to ask for their side of the story. If there is any reason why you do not want us to do this please tell us. If we are unable to send a copy to the institution where the research integrity breach/ misconduct is alleged to have occurred there is a possibility that the matter may not go any further.

*Do you consent to the ARC providing the details of the allegation to the institution where the incident(s) is alleged to have occurred?  □ Yes □ No

*Do you consent to the ARC providing your contact details as provided at Section 8 to the institution responsible for investigating the alleged incident(s)?  □ Yes □ No

Declaration

I hereby declare that the above information is true and correct.

Name: ____________________________
Signature: _________________________
Position: ___________________________  Date: _________________________

Please return this form by either:

Email: researchintegrity@arc.gov.au or  Mail: The Research Integrity Officer
Australian Research Council
GPO Box 2702
CANBERRA ACT 2601