

MPF1318 Process D: Management of Corrective Actions

Overview

This process supports the [Responsible Conduct of Research Policy \(MPF1318\)](#) by outlining the way in which the University will monitor Research Personnel's compliance with, and institutional responses to, corrective actions required under *MPF1318 Process A: Management of potential breaches of the Code*.

Purpose

This process establishes responsibility for the Office of Research Ethics and Integrity (OREI) to monitor, support, and make recommendations about, compliance with corrective actions. It also establishes oversight of responses to institutional contributions to breaches of the Code.

Process

Corrective actions by Research Personnel

1. If a Research Personnel is required to engage in corrective actions because of a decision made under section 34 or 54 of *MPF1318 Process A*, a Research Integrity Investigation Officer (RIIO) or equivalent in OREI will be appointed by the Associate Director, Research Integrity (or delegate) to monitor the completion of those actions.
2. The RIIO may disclose to the Head of Department, School, Associate Dean (Graduate Research) or equivalent, and/or Associate Dean (Research) or equivalent, the requirements of the corrective actions.
3. Research Personnel must provide to the appointed RIIO any documentation, information or other required assurance, in the manner and timeframe specified in the decision.
4. The RIIO may provide advice or assistance to the Research Personnel to support the completion of the required corrective actions.
5. On review of the documentation, information or other required assurance provided by the Research Personnel, the Associate Director, Research Integrity (or delegate), may determine that the Research Personnel has satisfied the requirements of the corrective actions. If so, the Associate Director, Research Integrity (or delegate) will advise the Research Personnel in writing within ten (10) University business days that that no further action is required in relation to the corrective actions.
6. If a Research Personnel fails, or is unable, to provide to the appointed RIIO any documentation, information or other required assurance, in the manner and timeframe specified in the original decision made under section 34 or 54 of *MPF1318 Process A*, the RIIO will advise the Research Personnel's direct line supervisor (for employees), academic supervisor (for students), or head of department or school (for honoraries and academic visitors), and the relevant Associate or Deputy Dean (Research), and where relevant, make recommendations as to how the Faculty may support the Research Personnel to demonstrate compliance with the required corrective actions.
7. If, after escalation in accordance with section 6 of this Process the Research Personnel fails or is unable to demonstrate compliance with the required corrective actions, the RIIO may make recommendations to the Designated Officer (DO) or Responsible Executive Officer (REO), who may decide:
 - a. To take no further action in relation to the matter;

- b. To require other action be taken by the Research Personnel to satisfy the requirements of the corrective actions;
 - c. To authorise the RIIO to take other necessary and appropriate steps to correct the public record of the research, for example by contacting a journal editor to request a retraction or errata; or
 - d. To consider recommending disciplinary action be taken in accordance with section 5.45 of the [Responsible Conduct of Research Policy \(MPF1318\)](#).
8. The RIIO will advise the Research Personnel within ten (10) University business days of the DO or REO's decision, and where relevant, will:
- a. Take the necessary or appropriate steps required to correct the public record of the research; and
 - b. Refer the matter to another person or entity as required.

Corrective actions by Faculties and other responsible persons

9. If a recommendation is made to the Dean of a Faculty or other relevant responsible person(s) to remediate an institutional failure that contributed to a breach of the Code under section 36 or 55 of *MPF1318 Process A*, an RIIO in OREI will be appointed to monitor the completion of those actions.
10. The RIIO may seek information from the Dean or other relevant responsible person as to how the Faculty has responded to the DO or REO's recommendations.
11. The RIIO will advise the DO or REO about any action taken by the Dean or other relevant responsible person in response to the recommendation made under section 36 or 55.

Authorised by:	Date:
Deputy Vice-Chancellor (Research)	DD/MM/YYYY