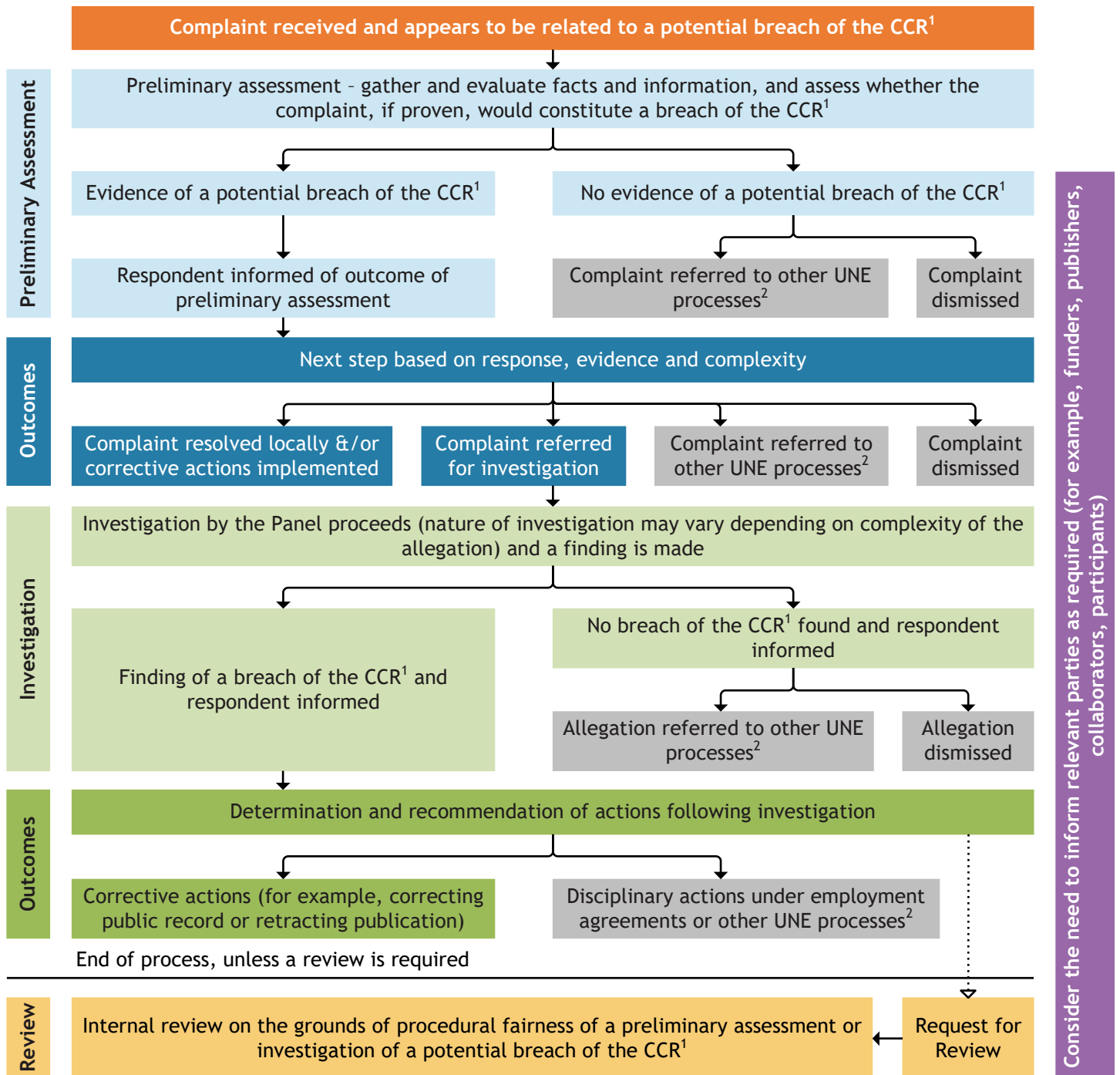




Figure 1: Overview of UNE Research Conduct - Managing Potential Breaches Procedures

1. CCR is the UNE Code of Conduct for Research Rule.
2. Other institutional processes may include those in enterprise agreements and employment contracts, and under the UNE Student Behavioural Misconduct Rules, UNE Code of Conduct, and Reporting Wrongdoing at UNE Policy.



Consideration of the need to inform relevant parties may be required at any stage of managing and investigating a potential breach of the CCR¹ (purple box).

A complaint may require immediate action, e.g. if there is a risk of harm to humans, animals or the environment.

Within the UNE Research Conduct - Managing Potential Breaches Procedures, UNE roles involved in the preliminary assessment and investigation are summarised in Section 8. The initial receipt of the complaint is discussed in Section 4. If it is decided that the complaint relates to a potential breach of the CCR¹, a preliminary assessment (Section 5) and investigation (Section 6) may ensue. Mechanisms for review of a preliminary assessment or investigation are outlined in Section 7.

This UNE overview is based on Figure 1: Overview of the recommended approach for managing and investigating a potential breach of the Code, in the Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research 2018 (ACRCR).