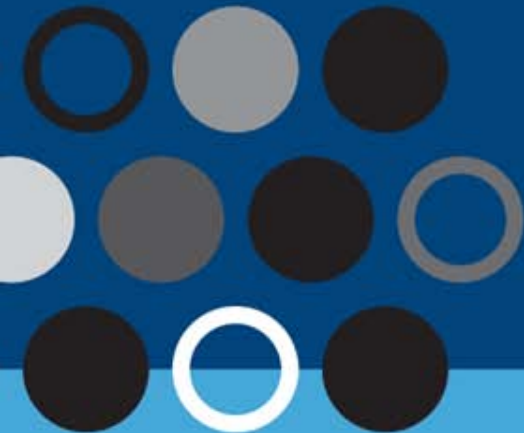


ANZUIAG Symposium  
Nov 10-11, 2011



THE UNIVERSITY OF  
MELBOURNE

# MELBOURNE RESEARCH



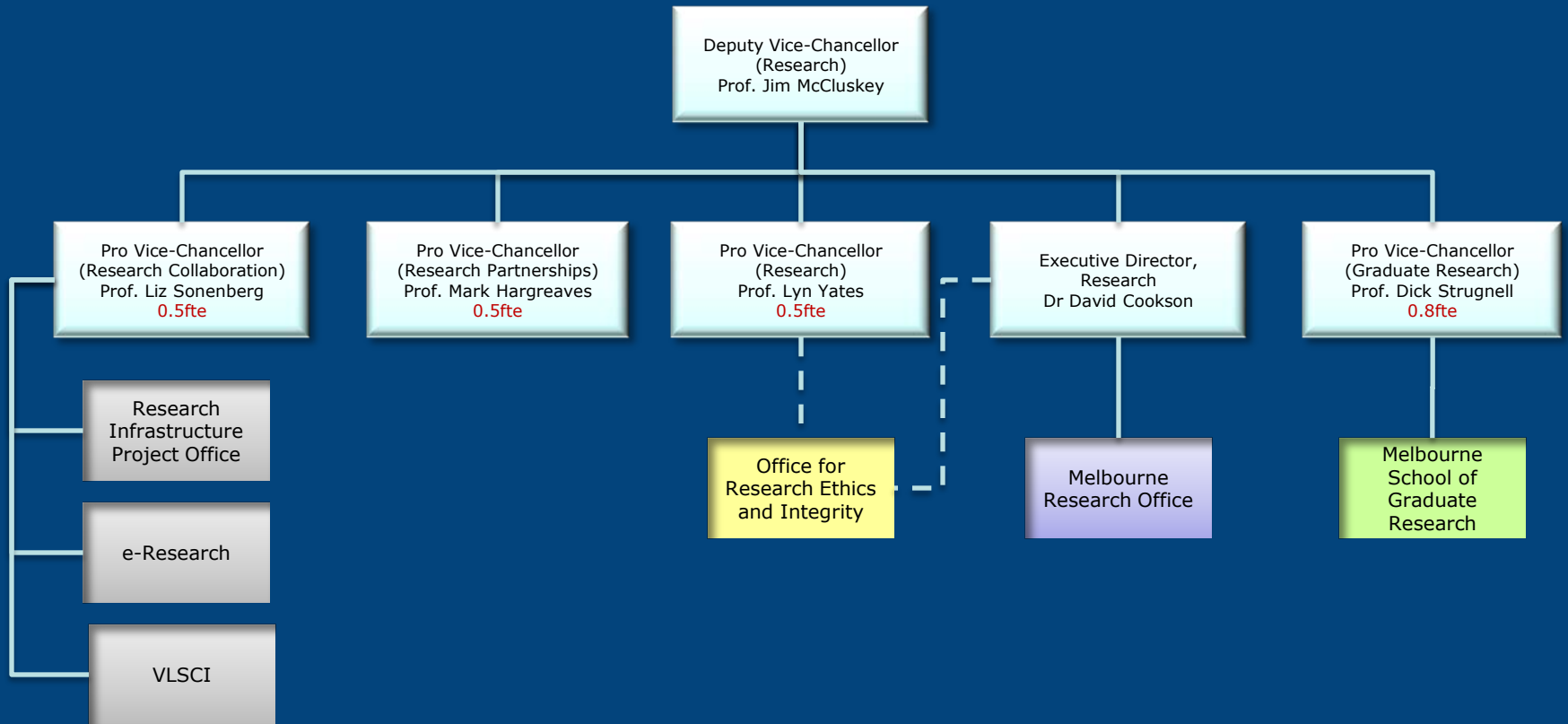
## Research risks...

- are strategic and operational
- arise from funders' requirements, regulatory agencies, codes of practice or conduct, and internal policies and procedures (plus any other law)
- have financial, legal and reputational consequences
- **research is risky**

## Some examples

- **strategic** – failure of marketing strategy to attract the best graduate researchers; failure to maintain national and international rankings
- **operational** – inattention to requirements for facilities for work with biological hazards
- **financial** – inappropriate use of grant funds
- **legal** – use of animals for research without approvals
- **reputational** – research misconduct
- **personal** – failure to submit progress reports

# One of 17 budget divisions.....



- University research institutes
- Research infrastructure
- IBM

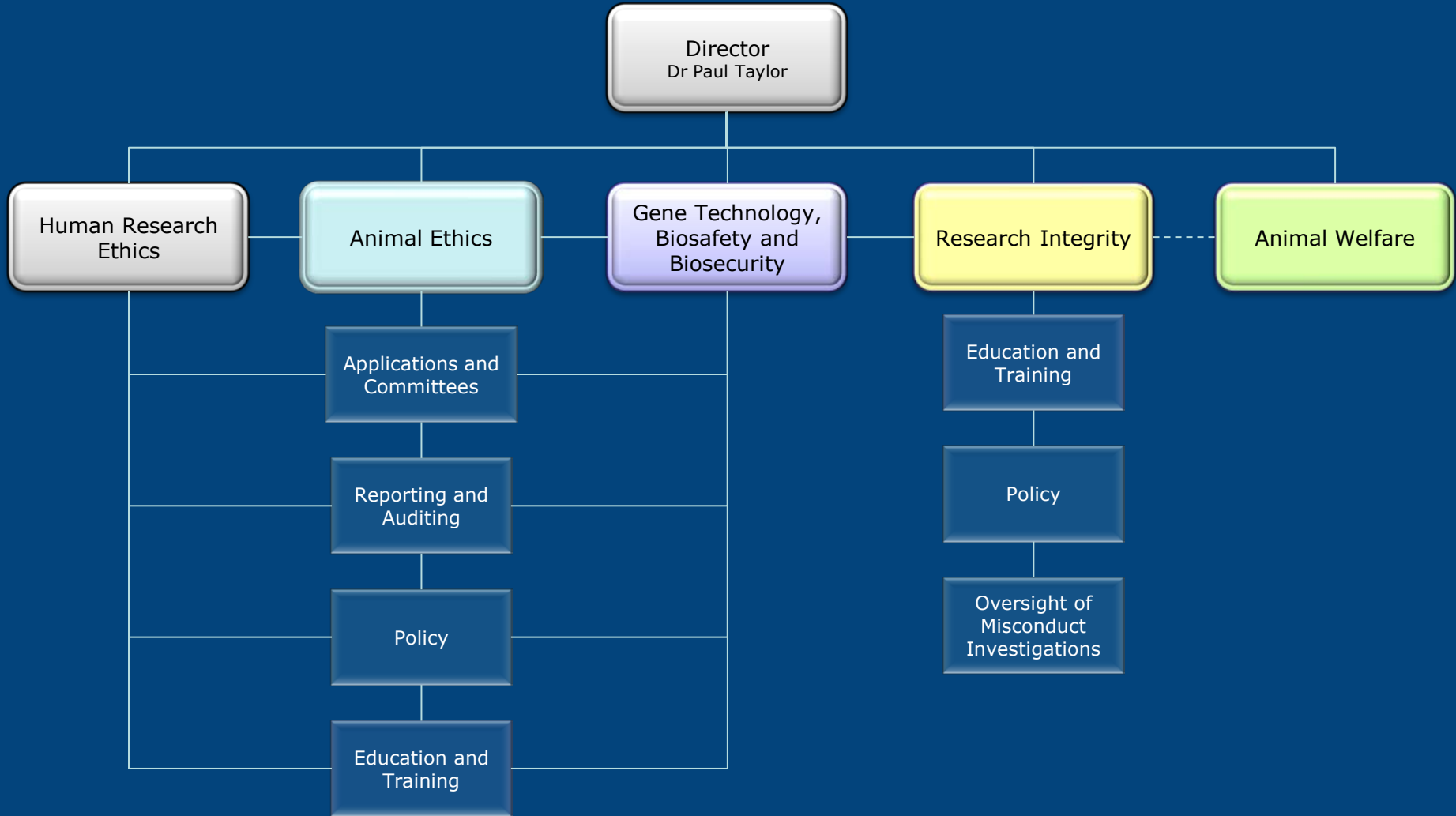
- Relationships with external partners
- MRIs

- ERA
- Faculty relationships and performance
- Research integrity
- Research ethics administration
- Gene technology and biosafety

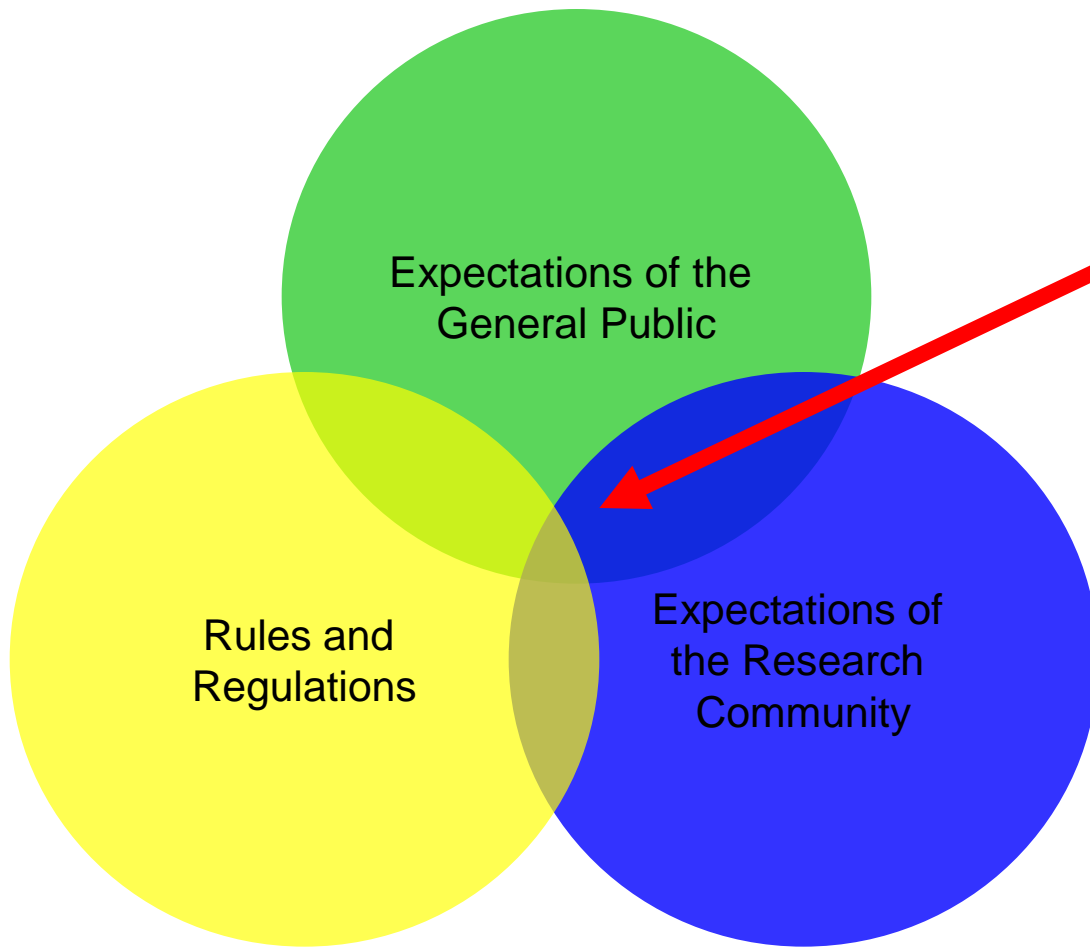
- Research policy and administration
- Research marketing and communication
- Research systems
- Research analytics
- Animal welfare

- Research training
- RHD scholarship policy
- RHD recruitment

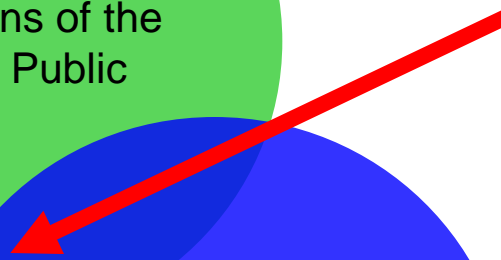
# Office for Research Ethics and Integrity



What are research ethics and research integrity?



**YOU ARE HERE**



# Ethics or integrity

- research ethics
  - making sure that no unreasonable harm is done to humans, animals or the environment as a result of research
  - benefit should outweigh the risks
- research integrity
  - principles that describe how research should be conducted
  - translation of the principles of personal integrity into research context



## Shifting sands and changing resolution

- rules are always being updated – e.g new GT Regs on Sept 1 2011, new Code of Practice for animals under review...
- tend towards increasing complexity rather than simplification
- audit tools more sophisticated and examining arrangement across the organisation

## Closer look – Office of the Gene Technology Regulator

- governs all work with genetically modified organisms and the facilities that are used for this work
- ‘fully’ legislated (GT Act, GT Regs) and monitored by the OGTR
- at UM – approx 450 projects, 160 certified facilities
- penalties for failure to comply
  - suspension of project/certification
  - loss of accreditation (all work with GMOs stops)
  - jail time and fines (up to \$1.1M per day) for the organisation and individuals

## Closer look – OGTR audit tool

- 24 pages, 126 questions like this...

12. Do your policies and procedures set out management and staff roles and responsibilities in relation to GT Act compliance? Can you show us examples of this in your arrangements (per above)? Is this done some other way? If so, may we have a copy? How are changes to the personnel in the roles detected with consequential informing/instructing inducted personnel in these responsibilities? (IBC membership, partner's personnel, contractors, persons named in licences, managers, organisational regulatory coordinators)

- well beyond the scope of the traditional role for gene tech officers and committees
- similar activity in other regulatory areas (e.g. NHMRC and ACRCR)

# Principles of research integrity

Principle	Practice	Why?
Data and records	Maintained, retrievable, safe, 'owned'	'gold' – reuse and sharing; insurance
Supervision of research trainees	Induct! Provide appropriate environment	the future of research; 'vulnerable'
Publication and dissemination	'Responsible'; one data set = one publication;	track record; performance
Authorship	Must have met requirements; keep record of agreement	track record; recognition; performance
Peer Review	Participate 'responsibly'	contribution to research
Conflict of Interest	Disclose and manage where appropriate	transparency and trust
Collaborations across institutions	Have agreements in place	prevent disputes; clarify responsibilities
Research misconduct	Have processes in place and respond to allegations	transparency and trust

These are extreme examples, but they demonstrate how the 'basics' of research, when ignored, can have serious consequences for all involved.

Is there a role for Internal Audit in supporting research risk management?

# YES!

- there is a role for IA in supporting the management of research risks
- role same as that for supporting the management of other risks encountered in a University
  - helping to ensure whole-of-organisation awareness
  - coordinating a response across an organisation
  - provision of advice

Thanks  
(and any questions?)