

Subject: University of Sydney Faculty Commit Egregious Plagiarism and Copyright Infringement – Institutional Whitewash Rejected in Full [Formerly Titled: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages]

From: Scott M. Graffius
Via email from scott@scottgraffius.com

To: Susan Maastricht / The University of Sydney
Via email at research.integrity@sydney.edu.au

This communication is also provided to those included in my prior email:

vice.chancellor@sydney.edu.au ; legal@sydney.edu.au ;
info.centre@sydney.edu.au ; rachel.fergus@sydney.edu.au ;
gregory.miskelly@sydney.edu.au ; clare.masters@sydney.edu.au ;
chancellor@sydney.edu.au ; media.office@sydney.edu.au ;
records.online@sydney.edu.au

And additionally:

The University of Sydney Internal Audit at internal.audit@sydney.edu.au

The Australian Research Integrity Committee (ARIC) at aric@arc.gov.au,
aric@nhmrc.gov.au, and integrity@nhmrc.gov.au

Council of Australian University Directors of Information Technology (CAUDIT) at
caudit@caudit.edu.au

Australian Copyright Council (ACC) at info@copyright.org.au

Retraction Watch at team@retractionwatch.com

European Society of Medicine (ESMED) publisher at editorialteam@esmed.org
(ESMED demonstrated exemplary integrity and professionalism; included here
as the publisher may have an interest in this ongoing, grave matter)

Date: 9 December 2025

**UNIVERSITY OF SYDNEY FACULTY COMMIT EGREGIOUS PLAGIARISM AND
COPYRIGHT INFRINGEMENT – INSTITUTIONAL WHITEWASH REJECTED IN FULL
[FORMERLY TITLED: NOTICE TO EUROPEAN SOCIETY OF MEDICINE AND OFFENDING
AUTHORS: INFRINGEMENT OF SCOTT M. GRAFFIUS' INTELLECTUAL PROPERTY AND
DAMAGES]**

Susan Maastricht:

Your letter dated 8 December 2025 is an institutional masterclass in how to trivialize, excuse, and whitewash blatant, systematic, word-for-word plagiarism and copyright infringement while pretending to uphold academic integrity. It is cowardly, disingenuous, and an insult to all honest researchers worldwide.

Your “Outcome of Preliminary Assessment” is a calculated—yet miserably failed—exercise in damage-control and reputational laundering for intellectual thieves.

For the benefit of readers who may not yet be familiar with the case, background information follows.

Here’s a brief description of my copyrighted ‘Phases of Team Development’ property.

Informed by the research of Bruce W. Tuckman and Mary Ann C. Jensen, over 100 subsequent studies, and my first-hand professional experience with, and analysis of, team leadership and performance, I created my ‘Phases of Team Development’ as a unique perspective and visual conveying the five phases of team development—Forming, Storming, Norming, Performing, and Adjourning—inclusive of a graph showing how performance varies by phase, as well as the characteristics and strategies for each phase.

I initially developed my material in 2008, and I periodically (typically, annually) refresh it.

Organizations around the world engage me to deliver compelling talks and workshops. To date, I’ve presented sessions at 96 conferences and other events across 25 countries, including Armenia, Australia, Brazil, Canada, Czech Republic, Finland, France, Germany, Greece, Hong Kong, Hungary, India, Ireland, Lithuania, Luxembourg, Nepal, Netherlands, New Zealand, Norway, Romania, Sweden, Switzerland, United Arab Emirates, United Kingdom, and the United States.

My ‘Phases of Team Development’ intellectual property is central and key to many of those sessions.

With authorization/license from me, my ‘Phases of Team Development’ copyright property is featured and relied upon by businesses, professional associations, government agencies, and universities around the world. Examples include: Adobe, American Management Association, Amsterdam Public Health Research Institute, Bayer, Boston University, Broadcom, Cisco, Deimos Aerospace, DevOps Institute, Finland Government, Ford Motor Company, FSU College of Medicine, Hasso-Plattner-Institut für Digital Engineering, Hochschule Coburg, IEEE, Johns Hopkins University, Life Sciences Trainers & Educators Network, Manufacturers Alliance, Microsoft, National Science Foundation’s LTER Network, Oracle, Singapore Institute of Technology, TBS Switzerland, Tufts University, United States National Park Service, United States Tennis Association, UC San Diego, University of Galway Ireland, University of Waterloo, Virginia Tech, Warsaw University, Yale University, and many others.

I am vigilant in upholding, protecting, and enforcing my intellectual property rights.

Here's a brief description of the infringing paper.

- Title of the infringing paper: Achieving the unachievable: the development of a large-scale interprofessional education workshop for first-year health professional students
- Names and affiliated institutions of the offending authors as listed on the infringing paper:
 - Jacqueline Bloomfield - The University of Sydney Susan Wakil School of Nursing and Midwifery, Faculty of Medicine and Health, Sydney, Australia.
 - Christie van Diggele - Faculty of Medicine and Health, The University of Sydney, Sydney, Australia.
 - Astrid Frotjold - The University of Sydney Susan Wakil School of Nursing and Midwifery, Faculty of Medicine and Health, Sydney, Australia.
 - Carl Schneider - The University of Sydney School of Pharmacy, Faculty of Medicine and Health, Sydney, Australia.
 - Rosa Howard - The University of Sydney School of Medicine, Faculty of Medicine and Health, Sydney, Australia.
 - Christopher Roberts - Honorary Professor of Medical Education, The University of Sydney School of Medicine, Faculty of Medicine and Health, Sydney, Australia.
 - Stuart Lane - The University of Sydney Medical School, Head of Intensive Care Medicine, Sydney Medical School, Australia; Senior Staff Specialist in Intensive Care Medicine, Nepean Hospital.
- Publication date for the offending paper: 26 March 2024
- Link to the offending paper: <https://esmed.org/MRA/mra/article/view/5118>
- 'How to cite' information exactly as noted by the publisher: BLOOMFIELD, Jacqueline et al. Achieving the unachievable: the development of a large-scale interprofessional education workshop for first-year health professional students. Medical Research Archives, [S.I.], v. 12, n. 3, mar. 2024. ISSN 2375-1924. Available at: <<https://esmed.org/MRA/mra/article/view/5118>>.
- Note: As detailed in this letter, due to the egregious offenses of the authors, the publisher—The European Society of Medicine—executed the rarest of all options: the publisher removed (deleted) the infringing paper.

Back to addressing your fanciful letter dated 8 December 2025.

1. You admit the infringement.

You state that my 2019 copyrighted property should have been cited and acknowledged.

You further concede that the failure to do so constitutes a significant departure from academic practice and a possible breach of your own Research Code.

That is the entire case. Everything else in your letter is noise designed to deflect from the fact that lead author Jacqueline Bloomfield (her name is listed first in the offending paper) and other authors, which includes those also at The University of Sydney, used my copyrighted property verbatim, without permission, without quotation or attribution, deceitfully passing the work off as their own scholarly contribution in a peer-reviewed journal. That is plagiarism. And a violation of my intellectual property rights. Full stop.

2. Your some-authors-didn't-see-the-final-manuscript excuse is contemptible.

The respective publisher, The European Society of Medicine, requires ethical conduct of those submitting works for publication. Its Publication Ethics (<https://esmed.org/ethics-statement/>) states, among other requirements, that authors who use the work or words of others must properly cite or quote them; submitting plagiarized work is unacceptable. It also requires that all co-authors must see and approve the final version and agree to its submission.

You attempt to mitigate collective accountability by claiming that not all authors reviewed the final version before it was submitted. That is irrelevant, self-serving fiction collapses the moment one remembers Clause 12(9) of your own Code, which you yourself quote: "all listed authors are considered collectively accountable for the whole research output."

The offending authors chose to put their names on the paper. They chose to accept authorship credit. They have authorship responsibility. Trying to hide behind we-didn't-all-read-it (even if that was true, though that is not believable) is the academic equivalent of a bank robber saying, "I only drove the getaway car, I never went inside."

3. Your take that the violation is only a "moderate breach" is absurd.

My copyright ownership details are integrated into and appear on my copyrighted "Phases of Team Development" property. Specifically, it reads: "Copyright © 2008-2019 Scott M. Graffius. All rights reserved. For permission requests, contact scott@scottgraffius.com." The offending authors neither requested nor received permission to use my copyrighted property. Yet, in blatant plagiarism and copyright infringement, the offending authors engaged in extensive misuse of my intellectual property, including numerous instances of flagrant word-for-word copying. Further, the offending authors brazenly misused my protected property without attribution to me, thereby willfully misleading others as to the ownership of my work. For the aforementioned reasons, the offending authors' misuse of my intellectual property was absolutely not "fair dealing" nor "fair use" nor "fair practice" nor otherwise allowed. The offending authors clearly plagiarized my protected property and infringed on my copyright. As a legal note, the offending authors acted in violation of law under Australia's *Copyright Act 1968*, as well as the U.S. *Copyright Act of 1976*, which is enforceable in Australia pursuant to the Berne Convention.

The offending authors engaged in extensive misuse of my intellectual property, including numerous instances of blatant word-for-word copying. Their infringement is massive and pervasive. Here are some examples.

- My 2019 copyrighted property includes this: **"Questioning"**
- Offending authors' infringing 2024 paper has: **"Questioning"**

- My 2019 copyrighted property includes this: **"Socializing"**
- Offending authors' infringing 2024 paper has: **"Socialising"**

- My 2019 copyrighted property includes this: **"Displaying eagerness"**
- Offending authors' infringing 2024 paper has: **"Displaying eagerness"**

- My 2019 copyrighted property includes this: **"Focusing on group identity & purpose"**
- Offending authors' infringing 2024 paper has: **"Focusing on group identity and purpose"**

- My 2019 copyrighted property includes this: **"Sticking to safe topics"**
- Offending authors' infringing 2024 paper has: **"Sticking to safe topics"**

- My 2019 copyrighted property includes this: **"Taking the 'lead'"**
- Offending authors' infringing 2024 paper has: **"Taking the 'lead'"**

- My 2019 copyrighted property includes this: **"Providing clear expectations and consistent instructions"**
- Offending authors' infringing 2024 paper has: **"Providing clear expectations and consistent instructions"**

- My 2019 copyrighted property includes this: **"Quick response times"**
- Offending authors' infringing 2024 paper has: **"Quick response times"**

- My 2019 copyrighted property includes this: **"Resistance"**
- Offending authors' infringing 2024 paper has: **"Resistance"**

- My 2019 copyrighted property includes this: **"Lack of participation"**
- Offending authors' infringing 2024 paper has: **"Lack of participation"**

- My 2019 copyrighted property includes this: **"Conflict"**
- Offending authors' infringing 2024 paper has: **"Conflict"**

- My 2019 copyrighted property includes this: **"Competition"**
- Offending authors' infringing 2024 paper has: **"Competition"**

- My 2019 copyrighted property includes this: **"High emotions"**
- Offending authors' infringing 2024 paper has: **"High emotions"**

- My 2019 copyrighted property includes this: **"Starting to move towards group norms"**
- Offending authors' infringing 2024 paper has: **"Starting to move towards group norms"**

- My 2019 copyrighted property includes this: **"Normalizing matters"**
- Offending authors' infringing 2024 paper has: **"Normalizing matters"**

- My 2019 copyrighted property includes this: **"Encouraging leadership"**
- Offending authors' infringing 2024 paper has: **"Encouraging leadership"**

- My 2019 copyrighted property includes this: **"Reconciliation"**
- Offending authors' infringing 2024 paper has: **"Reconciliation"**

- My 2019 copyrighted property includes this: **"Relief, lowered anxiety"**
- Offending authors' infringing 2024 paper has: **"Relief, lowered anxiety"**

- My 2019 copyrighted property includes this: **"Members are engaged & supportive"**
- Offending authors' infringing 2024 paper has: **"Members are engaged and supportive"**

- My 2019 copyrighted property includes this: **"Developing cohesion"**
- Offending authors' infringing 2024 paper has: **"Developing cohesion"**

- My 2019 copyrighted property includes this: **"Recognizing individual and group efforts"**
- Offending authors' infringing 2024 paper has: **"Recognising individual and group efforts"**

- My 2019 copyrighted property includes this: **"Providing learning opportunities and feedback"**
- Offending authors' infringing 2024 paper has: **"Providing learning opportunities and feedback"**

- My 2019 copyrighted property includes this: **"Monitoring the 'energy' of the group"**
- Offending authors' infringing 2024 paper has: **"Monitoring the 'energy' of the group"**

- My 2019 copyrighted property includes this: **"Demonstrations of interdependence"**
- Offending authors' infringing 2024 paper has: **"Demonstrations of interdependence"**

- My 2019 copyrighted property includes this: **"Healthy system"**
- Offending authors' infringing 2024 paper has: **"Healthy system"**

- My 2019 copyrighted property includes this: **"Ability to effectively produce as a team"**
- Offending authors' infringing 2024 paper has: **"Ability to effectively produce a team"**

- My 2019 copyrighted property includes this: **"Balance of task and process orientation"**
- Offending authors' infringing 2024 paper has: **"Balance of task and process orientation"**

- My 2019 copyrighted property includes this: **“Celebrating”**
- Offending authors’ infringing 2024 paper has: **“Celebrating”**

- My 2019 copyrighted property includes this: **“‘Guide from the side’ (minimal intervention)”**
- Offending authors’ infringing 2024 paper has: **“‘Guide from the side’ (minimal intervention)”**

- My 2019 copyrighted property includes this: **“Encouraging group decision-making and problem-solving”**
- Offending authors’ infringing 2024 paper has: **“Encouraging group decision making and problem solving”**

- My 2019 copyrighted property includes this: **“Providing opportunities to share learning across teams”**
- Offending authors’ infringing 2024 paper has: **“Providing opportunities to share learning across teams”**

- My 2019 copyrighted property includes this: **“Shift to process orientation”**
- Offending authors’ infringing 2024 paper has: **“Shift to process orientation”**

- My 2019 copyrighted property includes this: **“Sadness”**
- Offending authors’ infringing 2024 paper has: **“Sadness”**

- My 2019 copyrighted property includes this: **“Recognition of team and individual efforts”**
- Offending authors’ infringing 2024 paper has: **“Recognition of team and individual efforts”**

- My 2019 copyrighted property includes this: **“Recognizing change”**
- Offending authors’ infringing 2024 paper has: **“Recognising change”**

- My 2019 copyrighted property includes this: **“Providing an opportunity for summative team evaluations”**
- Offending authors’ infringing 2024 paper has: **“Providing an opportunity for summative team evaluations”**

- My 2019 copyrighted property includes this: **“Providing an opportunity for acknowledgments”**
- Offending authors’ infringing 2024 paper has: **“Providing an opportunity for acknowledgements”**

As shown, the offending authors engaged in extensive misuse of my intellectual property, including numerous instances of blatant word-for-word copying. Their infringement is extensive, systematic, and egregious. The preceding listed some examples.

Publishers follow well-established, tiered responses when problems are discovered after publication. These actions are codified in COPE (Committee on Publication Ethics) guidelines. Below is the full spectrum of post-publication actions, arranged from least severe to most severe.

1. Do nothing – when a matter is unproven or trivial.
2. Editorial note/expression of concern – when there is a minor problem.
3. Corrigendum/erratum/addendum – when honest errors exist, and some action is needed.
4. Partial retraction – rare, when a paper has significant incorrect or unreliable information and said information must be removed.
5. Full retraction – still more rare, for when a paper contains plagiarism or other serious violations.
6. Removal (sometimes called deletion) – this is the rarest of all options, that nuclear option, reserved for the most egregious and extreme offenses, such as the ethical issue of plagiarism and the legal issue of copyright infringement.

Due to the egregious offenses of the authors, the publisher—The European Society of Medicine—executed the rarest of all options: the publisher removed (deleted) the infringing paper.

The European Society of Medicine demonstrated exemplary integrity and professionalism on this serious matter.

The facts clearly show that the violators at The University of Sydney executed plagiarism and copyright infringement that was extensive, systematic, and egregious. Your “moderate breach” characterization is comical and wrong. Your attempt to minimize the case is laughable and reveals that the real purpose of your “assessment” is to protect the reputations of The University of Sydney faculty at the expense of the victim.

4. You sadly attempt to spin and minimize the matter as the-paper-was-only-public-for-twelve-months.

So, your metric for the gravity of plagiarism is how long the thieves managed to get away with it before being caught? That is a jaw-dropping admission. By that logic, if the authors had successfully kept the journal online for five years, the breach would have been more serious? The damage is not measured by how long the infringing article was visible; it is measured by the fact that your faculty stole my protected intellectual property, published it under their own names, and derived professional benefit from it.

5. You unbelievably claim no evidence of institutional failures.

The original complaint made no mention of institutional failures. Yet somehow, you couldn't resist bringing it up yourself—perhaps a Freudian slip revealing what you'd rather keep hidden.

Multiple academics from The University of Sydney plagiarized my copyrighted property and violated my intellectual property rights. Again, the offenders are:

- Jacqueline Bloomfield - The University of Sydney Susan Wakil School of Nursing and Midwifery, Faculty of Medicine and Health, Sydney, Australia.
- Christie van Diggele - Faculty of Medicine and Health, The University of Sydney, Sydney, Australia.
- Astrid Frotjold - The University of Sydney Susan Wakil School of Nursing and Midwifery, Faculty of Medicine and Health, Sydney, Australia.
- Carl Schneider - The University of Sydney School of Pharmacy, Faculty of Medicine and Health, Sydney, Australia.
- Rosa Howard - The University of Sydney School of Medicine, Faculty of Medicine and Health, Sydney, Australia.
- Christopher Roberts - Honorary Professor of Medical Education, The University of Sydney School of Medicine, Faculty of Medicine and Health, Sydney, Australia.
- Stuart Lane - The University of Sydney Medical School, Head of Intensive Care Medicine, Sydney Medical School, Australia; Senior Staff Specialist in Intensive Care Medicine, Nepean Hospital.

This matter demonstrates a cultural and supervisory failure on a spectacular scale at The University of Sydney. Pretending otherwise is institutional gaslighting.

And then there is the exquisite, almost operatic irony of Jacqueline Bloomfield, the lead author of the plagiarizing and infringing paper, having built part of her academic brand on lecturing the world about plagiarism and academic integrity. This is the same Jacqueline Bloomfield who, in 2021, solemnly warned in a paper[†] she co-wrote that, "Academic dishonesty is increasing in prevalence in universities globally." Well, she's clearly contributing to the disgraceful problem! Her paper also notes, "There is concern that nursing students who knowingly plagiarise or cheat may lack the attributes of integrity, honesty and trustworthiness required by the nursing profession, and subsequently carry dishonest behaviour into the workplace." Just students? What about professors who, as plagiarists and violators of intellectual property rights, demonstrate a total lack of integrity, honesty, and trustworthiness? ([†]Source: Bloomfield, J. G., Crawford, T., & Fisher, M. (2021). Registered nurses understanding of academic honesty and the perceived relationship to professional conduct: Findings from a cross-sectional survey conducted in Southeast Asia. *Nurse Education Today*, 100, 104794. <https://doi.org/10.1016/j.nedt.2021.104794>).

The lead author on the infringing paper has written a sanctimonious sermon on why plagiarism is unethical, dangerous, and intolerable, while blatantly plagiarizing my work and brazenly infringing on my intellectual property rights.

The hypocrisy is breathtaking. The University of Sydney is not merely sheltering plagiarists; it is sheltering a serial public moralizer on plagiarism who cannot even abide by the standards she preaches in her own peer-reviewed articles. It's world-class violation dressed up in a The University of Sydney gown.

6. Your proposed remedies are an international joke.

- Mandatory training on responsible research practices. My response: The same training these professors are supposed to deliver to students? They don't need training; they need consequences.
- An "authorship agreement" for future papers. My response: As if the problem were paperwork rather than embodying and manifesting honesty, integrity, and ethics.

- If the infringing paper ever resurfaces, the violators should seek appropriate permission. My response: If the violators think they can launder their theft and damage into something ethical, they are mistaken.

None of these ridiculous and insufficient measures undoes the theft, none repairs the market harm, and none holds a single individual accountable. They are the administrative equivalent of thoughts and prayers.

The University of Sydney faculty committed deliberate, extensive, provable plagiarism and copyright infringement. Your assessment is a transparent attempt to sweep that misconduct under the rug while preserving the careers and reputations of the offenders. Your refusal to proceed to a further, formal investigation is itself a breach of academic duty and an act of institutional bad faith. I reject your findings.

The facts are that my copyright ownership details and permission request information are integrated into and appear on my 'Phases of Team Development' intellectual property. The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—neither requested nor received permission to use my copyrighted property. Yet, in blatant plagiarism and copyright infringement, they engaged in extensive misuse of my protected property. Further, they brazenly misused my copyrighted property without attribution to me, thereby willfully misrepresenting the ownership of my intellectual property as their own work. Their violation was extensive, systematic, and egregious. The violators' actions are a textbook case of disgraceful, immoral, unethical, unprofessional, and illegal behaviour.

The proven violators negatively affected the potential market and value of my 'Phases of Team Development' intellectual property and related work. Intellectual property is a strategic asset that provides significant value. I rigorously maintain, enforce, and protect my intellectual property rights.

What the proven violators from The University of Sydney did was damaging, disgraceful, immoral, unethical, unprofessional, and illegal. Shockingly, you made the grave situation worse.

You had the duty and authority to do what was right. Instead, you chose to defend the proven offenders. By doing so, you've made yourself and The University of Sydney complicit in serious ethical and legal wrongdoing. It's a disgrace.

This serious situation requires transparency and action, not silence. That's why it will be escalated through every available and appropriate legal and regulatory channel and jurisdiction. Your letter will be an Exhibit in demonstrating that the University of Sydney knowingly shelters proven plagiarists and intellectual property violators and has zero intention of enforcing even basic standards of ethics and integrity. I expressly reserve all rights in this case.

Sincerely,



Scott M. Graffius

Attachments/accompanying information:

- **Report from Scott M. Graffius sent on 1 March 2025.**
- **Response from The University of Sydney received on 14 May 2025.**

Excerpts from the email:

“Thank you for your email below and I apologies for the delay in responding.”

“We will be touch regarding an update on the matter as this progresses.”

- **Follow-up from Scott M. Graffius sent on 7 December 2025.**

Excerpts from the email:

“David Thodey, Chancellor
Mark Scott, Vice-Chancellor & President
The University of Sydney

I reported this damaging, disgraceful, immoral, unethical, unprofessional, and illegal matter in March.

Two hundred eighty (280) calendar days have elapsed since then.

What has been done?!

I re-attached the PDF I provided with my original communiqué.

I expressly reserve all rights in this disturbing and consequential matter.”

- **Response from The University of Sydney received on 7 December 2025.**

The following attachment/accompanying information follows:

Report from Scott M. Graffius sent on 1 March 2025

Subject: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

Date: Saturday, March 1, 2025 at 3:44:06 PM Pacific Standard Time

From: scott scottgraffius.com <scott@scottgraffius.com>

To: office@esmed.org <office@esmed.org>, legal@esmed.org <legal@esmed.org>, editorialteam@esmed.org <editorialteam@esmed.org>, copyright@sydney.edu.au <copyright@sydney.edu.au>, perry.xiao@lsbu.ac.uk <perry.xiao@lsbu.ac.uk>, egle.lastauskiene@gf.vu.lt <egle.lastauskiene@gf.vu.lt>, emailmedical@gmail.com <emailmedical@gmail.com>, jacqueline.bloomfield@sydney.edu.au <jacqueline.bloomfield@sydney.edu.au>, christie.vandiggele@sydney.edu.au <christie.vandiggele@sydney.edu.au>, astrid.frotjold@sydney.edu.au <astrid.frotjold@sydney.edu.au>, carl.schneider@sydney.edu.au <carl.schneider@sydney.edu.au>, rosa.howard@sydney.edu.au <rosa.howard@sydney.edu.au>, stuart.lane@sydney.edu.au <stuart.lane@sydney.edu.au>, crreception@penorth.com.au <crreception@penorth.com.au>, roncati.luca@aou.mo.it <roncati.luca@aou.mo.it>, vice.chancellor@sydney.edu.au <vice.chancellor@sydney.edu.au>, records.online@sydney.edu.au <records.online@sydney.edu.au>, research.integrity@sydney.edu.au <research.integrity@sydney.edu.au>, legal@sydney.edu.au <legal@sydney.edu.au>, internal.audit@sydney.edu.au <internal.audit@sydney.edu.au>, cheryl.jones@sydney.edu.au <cheryl.jones@sydney.edu.au>, remy.guillevin@chu-poitiers.fr <remy.guillevin@chu-poitiers.fr>, rivir@bgu.ac.il <rivir@bgu.ac.il>, j.a.g.buchanan@qmul.ac.uk <j.a.g.buchanan@qmul.ac.uk>, peter.goadsby@kcl.ac.uk <peter.goadsby@kcl.ac.uk>, charlotte.erlanson-albertsson@med.lu.se <charlotte.erlanson-albertsson@med.lu.se>

Attachments: notice-to-european-society-of-medicine-and-offending-authors-of-infringement-of-scott-m-graffius'-intellectual-property-and-damages.pdf

European Society of Medicine, and Offending Authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane:

As delineated with incontrovertible and unequivocal evidence in the Details section of **the attached letter**, your publication extensively misused my copyrighted 'Phases of Team Development' property—including numerous instances of blatant verbatim copying—without permission or attribution. The brazen plagiarism and infringement constitute a profound and disgraceful breach of professional ethics, moral standards, and my intellectual property rights.

I demand that you:

1. **The Publisher - Cease Use and Distribution:** Remove all uses, reproductions, distributions, public performances, or displays of your materials in which my copyrighted property appears. A full removal and

retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.

2. **The Publisher - Remove All Instances:** Remove all electronic copies of your materials containing my copyrighted property from all platforms, including but not limited to websites, social media, and any commercial or promotional applications. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. If there are hard copies, securely destroy (e.g., by shredding and recycling) all of them. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.
3. **The Offending Authors - Remit Compensation for Damages:** The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—are liable for all damages resulting from their unauthorized use of my copyrighted property. Such damages include, but are not limited to, loss of licensing revenue, diminution of market value, unauthorized commercial exploitation, and reputational harm. The offending authors must engage in good faith discussions via email within 10 calendar days from today to negotiate the nature and amount of compensation and deliver said compensation within 20 calendar days from today. Failure to comply will prompt proceedings to enforce my rights and recover damages for your infringement of my copyright.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com

Subject: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

From: Scott M. Graffius

Via email from scott@scottgraffius.com

To: The publisher of the plagiarizing and infringing paper: European Society of Medicine, Rue le Corbusier 12, Geneva, 1208, Switzerland

The authors of the plagiarizing and infringing paper: Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, Stuart Lane

Via email to office@esmed.org, legal@esmed.org, editorialteam@esmed.org, copyright@sydney.edu.au, perry.xiao@lsbu.ac.uk, egle.lastauskiene@gf.vu.lt, emailmedical@gmail.com, jacqueline.bloomfield@sydney.edu.au, christie.vandiggele@sydney.edu.au, astrid.frotjold@sydney.edu.au, carl.schneider@sydney.edu.au, rosa.howard@sydney.edu.au, stuart.lane@sydney.edu.au, crcception@penorth.com.au, roncati.luca@aou.mo.it, vice.chancellor@sydney.edu.au, records.online@sydney.edu.au, research.integrity@sydney.edu.au, legal@sydney.edu.au, internal.audit@sydney.edu.au, cheryl.jones@sydney.edu.au, remy.guillevin@chu-poitiers.fr, rivir@bgu.ac.il, j.a.g.buchanan@qmul.ac.uk, peter.goadsby@kcl.ac.uk, charlotte.erlanson-albertsson@med.lu.se

Date: 1 March 2025

NOTICE TO EUROPEAN SOCIETY OF MEDICINE AND OFFENDING AUTHORS: INFRINGEMENT OF SCOTT M. GRAFFIUS' INTELLECTUAL PROPERTY AND DAMAGES

European Society of Medicine, and Offending Authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, Stuart Lane:

As delineated with incontrovertible and unequivocal evidence in the Details section of this letter, your publication extensively misused my copyrighted 'Phases of Team Development' property—including numerous instances of blatant verbatim copying—without permission or attribution. The brazen plagiarism and infringement constitute a profound and disgraceful breach of professional ethics, moral standards, and my intellectual property rights.

I demand that you:

1. **The Publisher - Cease Use and Distribution:** Remove all uses, reproductions, distributions, public performances, or displays of your materials in which my copyrighted property appears. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.
2. **The Publisher - Remove All Instances:** Remove all electronic copies of your materials containing my copyrighted property from all platforms, including but not limited to websites, social media, and any commercial or promotional applications. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. If there are hard copies, securely destroy (e.g., by shredding and recycling) all of them. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.
3. **The Offending Authors - Remit Compensation for Damages:** The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts,

and Stuart Lane—are liable for all damages resulting from their unauthorized use of my copyrighted property. Such damages include, but are not limited to, loss of licensing revenue, diminution of market value, unauthorized commercial exploitation, and reputational harm. The offending authors must engage in good faith discussions via email within 10 calendar days from today to negotiate the nature and amount of compensation and deliver said compensation within 20 calendar days from today. Failure to comply will prompt proceedings to enforce my rights and recover damages for your infringement of my copyright.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com

Details

Informed by the research of Bruce W. Tuckman, Ph.D. and Mary Ann C. Jensen, over 100 subsequent studies, and Mr. Graffius' first-hand professional experience with, and analysis of, team leadership and performance, Mr. Graffius created his 'Phases of Team Development.' It presents a unique perspective on the five phases of team development—Forming, Storming, Norming, Performing, and Adjourning—and it's inclusive of the characteristics/features/traits and strategies for each phase. First introduced in 2008 and periodically updated, his work provides a diagnostic and strategic guide for navigating team dynamics. It provides actionable insights for leaders across industries to develop high performance teams. Its adoption by esteemed organizations such as Yale University, IEEE, Cisco, Microsoft, Ford, Oracle, Broadcom, the U.S. National Park Service, and the *Journal of Neurosurgery*, among others, highlights its exceptional utility and value, solidifying its status as an indispensable resource for elevating team performance and driving organizational excellence.

Conference organizers, businesses, professional associations, government agencies, and universities around the world retain Mr. Graffius to deliver compelling talks and workshops. He's presented sessions at 91 conferences and other events across 25 countries, including:

- Armenia,
- Australia,
- Brazil,
- Canada,
- Czech Republic,
- Finland,
- France,
- Germany,
- Greece,
- Hong Kong,
- Hungary,
- India,
- Ireland,
- Lithuania,
- Luxembourg,
- Nepal,
- Netherlands,
- New Zealand,
- Norway,
- Romania,
- Sweden,

- Switzerland,
- United Arab Emirates,
- United Kingdom,
- and the United States.

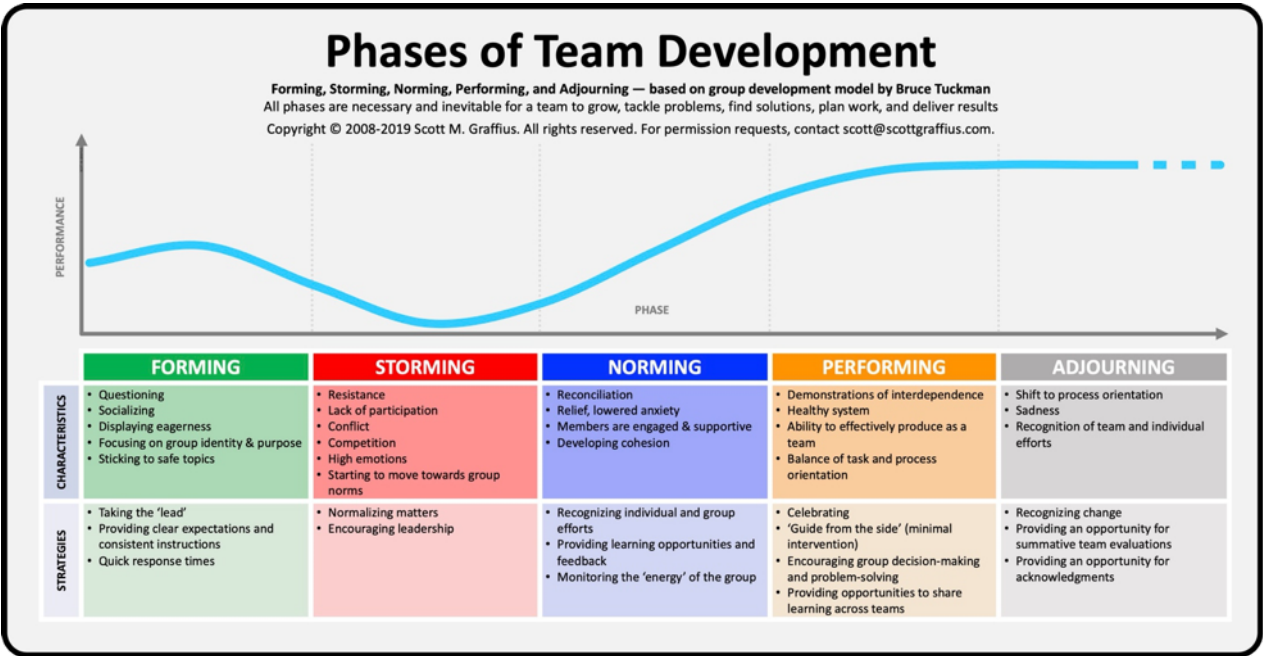
Mr. Graffius' 'Phases of Team Development' intellectual property is central and key to many of those sessions. His rate card and a listing of his engagements are at <https://scottgraffius.com/resources/Exceptional-PPM-and-PMO-Solutions-Rate-Card-for-2024-2025-v24071607.pdf> and <https://scottgraffius.com/publicspeaker.html>, respectively.

With authorization/license from Mr. Graffius, many organizations around the world have featured and used his copyrighted 'Phases of Team Development' work. Select examples include:

- Adobe,
- American Management Association,
- Amsterdam Public Health Research Institute,
- Bayer,
- Boston University,
- Broadcom,
- Cisco,
- Deimos Aerospace,
- DevOps Institute,
- Erste Group Bank AG,
- FINAT,
- Ford Motor Company,
- FSU College of Medicine,
- Hasso Plattner Institute (Hasso-Plattner-Institut für Digital Engineering GmbH),
- IEEE,
- Innovify,
- Johns Hopkins University,
- *Journal of Neurosurgery*,
- LeadingEng,
- Life Sciences Trainers & Educators Network,
- London South Bank University,
- Manufacturers Alliance,
- Mary Raum (Professor of National Security Affairs, United States Naval War College),
- Microsoft,
- New Zealand Government,
- Oracle,
- Prima Resource,
- Royal Australasian College of Physicians,
- Singapore University of Social Sciences,
- TBS Switzerland,
- Technical University of Munich,
- Tufts University,
- U.S. National Park Service,
- U.S. Tennis Association,
- UC San Diego,
- University of Galway,
- University of Graz,
- University of Waterloo,
- Virginia Tech,
- Warsaw University of Technology,
- Yale University,
- and many others.

Mr. Graffius initially developed his ‘Phases of Team Development’ intellectual property in 2008, and he periodically refreshes it.

For this case, the applicable version is the 2019 edition. It's available at:
<https://x.com/ScottGraffius/status/1127615738930290689>,
<https://www.facebook.com/ScottMGraffius/posts/pfbid0yeEShL5n93pke2VFBswr5V2hik9NU9bABG6Q6QFpt99myFeRBbukg2EX9yVdeigfl>, https://www.linkedin.com/posts/scottgraffius_ideacon2023-forming-storming-activity-7036179826533175296-kkO4/, and additional accounts/locations. The respective visual from Mr. Graffius is shown next.



The above image shows the visual of the respective 2019 edition of Mr. Graffius' 'Phases of Team Development' intellectual property.

Mr. Graffius' copyright ownership details are integrated into and appear on his copyrighted property. Specifically, it reads:

"Copyright © 2008-2019 Scott M. Graffius. All rights reserved. For permission requests, contact scott@scottgraffius.com."

The offending authors neither requested nor received permission to use Mr. Graffius' IP. Yet, in blatant plagiarism and copyright infringement, the offending authors engaged in extensive misuse of Mr. Graffius' IP, including numerous instances of flagrant word-for-word copying. Further, the offending authors brazenly misused Mr. Graffius' IP without attribution to Mr. Graffius, thereby willfully misleading others as to the ownership of Mr. Graffius' IP. For the aforementioned reasons, the offending authors' misuse of Mr. Graffius' IP was absolutely not "fair dealing" nor "fair use" nor "fair practice" nor otherwise allowed. The offending authors clearly plagiarized Mr. Graffius' protected property and infringed on his copyright.

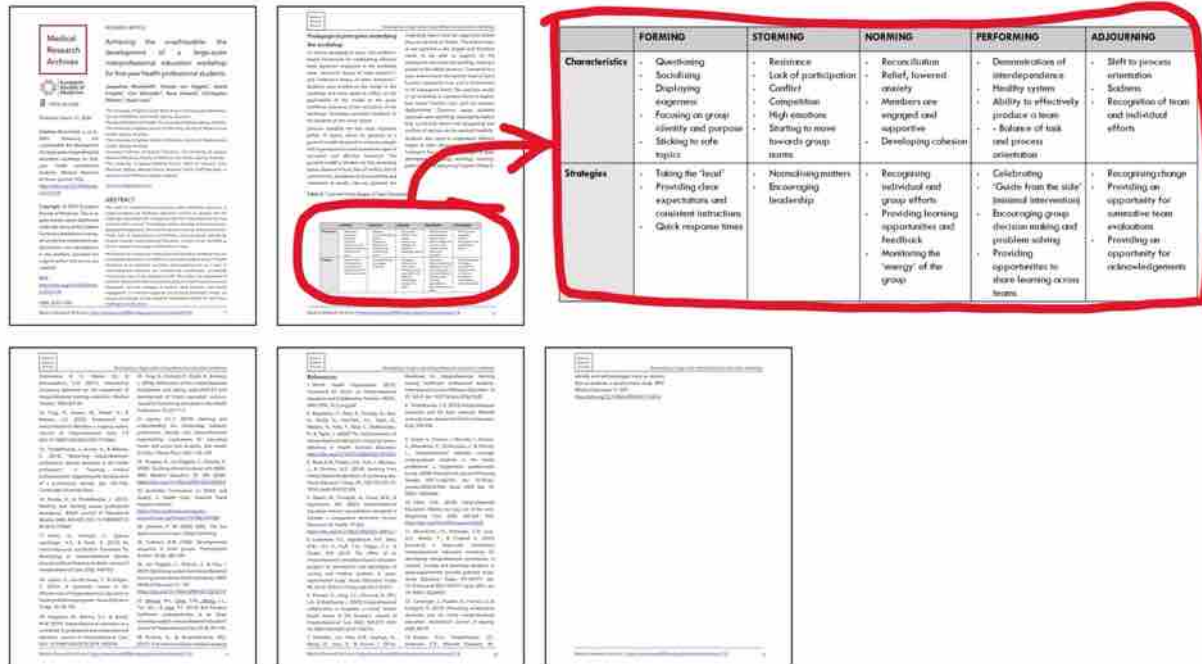
Information on offending authors' infringing publication and indisputable proof of the violation follow. Evidence has been preserved.

Here's information on the infringing publication.

- Publisher: European Society of Medicine
- Paper title: Achieving the unachievable: the development of a large-scale interprofessional education workshop for first-year health professional students
- Paper authors: Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane

- Publication date: 26 March 2024
- Link to paper: <https://esmed.org/MRA/mra/article/view/5118>
- 'How to cite' information exactly as noted by the publisher: BLOOMFIELD, Jacqueline et al. Achieving the unachievable: the development of a large-scale interprofessional education workshop for first-year health professional students. **Medical Research Archives**, [S.l.], v. 12, n. 3, mar. 2024. ISSN 2375-1924. Available at: <<https://esmed.org/MRA/mra/article/view/5118>>.

Indisputable proof of the violation by the offending authors follows.



The above exhibit, comprised of limited excerpts from the European Society of Medicine infringing publication—paper by Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—shows the offending authors' plagiarism and violation of Mr. Graffius' intellectual property. The exhibit is included here under the principles of fair use, fair dealing, and fair practice for purposes of reporting, analyzing, and documenting the violation.

Additionally, a comparison of content from Mr. Graffius' 2019 copyrighted property and what the offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—have in their infringing 2024 paper is next.

The offending authors engaged in extensive misuse of Mr. Graffius' intellectual property, including numerous instances of blatant word-for-word copying in their discussion of the Forming phase. Their infringement is pervasive. Here are some examples.

- Mr. Graffius' 2019 copyrighted property includes: **“Questioning”**
- The offending authors' infringing 2024 paper has: **“Questioning”**
- Mr. Graffius' 2019 copyrighted property includes: **“Socializing”**
- The offending authors' infringing 2024 paper has: **“Socialising”**
- Mr. Graffius' 2019 copyrighted property includes: **“Displaying eagerness”**
- The offending authors' infringing 2024 paper has: **“Displaying eagerness”**
- Mr. Graffius' 2019 copyrighted property includes: **“Focusing on group identity & purpose”**
- The offending authors' infringing 2024 paper has: **“Focusing on group identity and purpose”**
- Mr. Graffius' 2019 copyrighted property includes: **“Sticking to safe topics”**

- The offending authors' infringing 2024 paper has: **"Sticking to safe topics"**
- Mr. Graffius' 2019 copyrighted property includes: **"Taking the 'lead'"**
- The offending authors' infringing 2024 paper has: **"Taking the 'lead'"**
- Mr. Graffius' 2019 copyrighted property includes: **"Providing clear expectations and consistent instructions"**
- The offending authors' infringing 2024 paper has: **"Providing clear expectations and consistent instructions"**
- Mr. Graffius' 2019 copyrighted property includes: **"Quick response times"**
- The offending authors' infringing 2024 paper has: **"Quick response times"**

The offending authors engaged in extensive misuse of Mr. Graffius' intellectual property, including numerous instances of blatant word-for-word copying in their discussion of the Storming phase. Their infringement is pervasive. Here are some examples.

- Mr. Graffius' 2019 copyrighted property includes: **"Resistance"**
- The offending authors' infringing 2024 paper has: **"Resistance"**
- Mr. Graffius' 2019 copyrighted property includes: **"Lack of participation"**
- The offending authors' infringing 2024 paper has: **"Lack of participation"**
- Mr. Graffius' 2019 copyrighted property includes: **"Conflict"**
- The offending authors' infringing 2024 paper has: **"Conflict"**
- Mr. Graffius' 2019 copyrighted property includes: **"Competition"**
- The offending authors' infringing 2024 paper has: **"Competition"**
- Mr. Graffius' 2019 copyrighted property includes: **"High emotions"**
- The offending authors' infringing 2024 paper has: **"High emotions"**
- Mr. Graffius' 2019 copyrighted property includes: **"Starting to move towards group norms"**
- The offending authors' infringing 2024 paper has: **"Starting to move towards group norms"**
- Mr. Graffius' 2019 copyrighted property includes: **"Normalizing matters"**
- The offending authors' infringing 2024 paper has: **"Normalizing matters"**
- Mr. Graffius' 2019 copyrighted property includes: **"Encouraging leadership"**
- The offending authors' infringing 2024 paper has: **"Encouraging leadership"**

The offending authors engaged in extensive misuse of Mr. Graffius' intellectual property, including numerous instances of blatant word-for-word copying in their discussion of the Norming phase. Their infringement is pervasive. Here are some examples.

- Mr. Graffius' 2019 copyrighted property includes: **"Reconciliation"**
- The offending authors' infringing 2024 paper has: **"Reconciliation"**
- Mr. Graffius' 2019 copyrighted property includes: **"Relief, lowered anxiety"**
- The offending authors' infringing 2024 paper has: **"Relief, lowered anxiety"**
- Mr. Graffius' 2019 copyrighted property includes: **"Members are engaged & supportive"**
- The offending authors' infringing 2024 paper has: **"Members are engaged and supportive"**

- Mr. Graffius' 2019 copyrighted property includes: "Developing cohesion"
- The offending authors' infringing 2024 paper has: "Developing cohesion"
- Mr. Graffius' 2019 copyrighted property includes: "Recognizing individual and group efforts"
- The offending authors' infringing 2024 paper has: "Recognising individual and group efforts"
- Mr. Graffius' 2019 copyrighted property includes: "Providing learning opportunities and feedback"
- The offending authors' infringing 2024 paper has: "Providing learning opportunities and feedback"
- Mr. Graffius' 2019 copyrighted property includes: "Monitoring the 'energy' of the group"
- The offending authors' infringing 2024 paper has: "Monitoring the 'energy' of the group"

The offending authors engaged in extensive misuse of Mr. Graffius' intellectual property, including numerous instances of blatant word-for-word copying in their discussion of the Performing phase. Their infringement is pervasive. Here are some examples.

- Mr. Graffius' 2019 copyrighted property includes: "Demonstrations of interdependence"
- The offending authors' infringing 2024 paper has: "Demonstrations of interdependence"
- Mr. Graffius' 2019 copyrighted property includes: "Healthy system"
- The offending authors' infringing 2024 paper has: "Healthy system"
- Mr. Graffius' 2019 copyrighted property includes: "Ability to effectively produce as a team"
- The offending authors' infringing 2024 paper has: "Ability to effectively produce a team"
- Mr. Graffius' 2019 copyrighted property includes: "Balance of task and process orientation"
- The offending authors' infringing 2024 paper has: "Balance of task and process orientation"
- Mr. Graffius' 2019 copyrighted property includes: "Celebrating"
- The offending authors' infringing 2024 paper has: "Celebrating"
- Mr. Graffius' 2019 copyrighted property includes: "'Guide from the side' (minimal intervention)"
- The offending authors' infringing 2024 paper has: "'Guide from the side' (minimal intervention)"
- Mr. Graffius' 2019 copyrighted property includes: "Encouraging group decision-making and problem-solving"
- The offending authors' infringing 2024 paper has: "Encouraging group decision making and problem solving"
- Mr. Graffius' 2019 copyrighted property includes: "Providing opportunities to share learning across teams"
- The offending authors' infringing 2024 paper has: "Providing opportunities to share learning across teams"

The offending authors engaged in extensive misuse of Mr. Graffius' intellectual property, including numerous instances of blatant word-for-word copying in their discussion of the Adjourning phase. Their infringement is pervasive. Here are some examples.

- Mr. Graffius' 2019 copyrighted property includes: "Shift to process orientation"
- The offending authors' infringing 2024 paper has: "Shift to process orientation"
- Mr. Graffius' 2019 copyrighted property includes: "Sadness"
- The offending authors' infringing 2024 paper has: "Sadness"

- Mr. Graffius' 2019 copyrighted property includes: "Recognition of team and individual efforts"
- The offending authors' infringing 2024 paper has: "Recognition of team and individual efforts"

- Mr. Graffius' 2019 copyrighted property includes: "Recognizing change"
- The offending authors' infringing 2024 paper has: "Recognising change"

- Mr. Graffius' 2019 copyrighted property includes: "Providing an opportunity for summative team evaluations"
- The offending authors' infringing 2024 paper has: "Providing an opportunity for summative team evaluations"

- Mr. Graffius' 2019 copyrighted property includes: "Providing an opportunity for acknowledgments"
- The offending authors' infringing 2024 paper has: "Providing an opportunity for acknowledgements"

As shown, the offending authors engaged in extensive misuse of Mr. Graffius' intellectual property, including numerous instances of blatant word-for-word copying. Their infringement is extensive, systematic, and egregious. The preceding listed some examples.

Mr. Graffius' copyright ownership details and permission request information are integrated into and appear on his 'Phases of Team Development' intellectual property (IP). The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—neither requested nor received permission to use Mr. Graffius' IP. Yet, in blatant plagiarism and copyright infringement, they engaged in extensive misuse of Mr. Graffius' IP, including numerous instances of verbatim copying. Further, they brazenly misused Mr. Graffius' IP without attribution to Mr. Graffius, thereby willfully misrepresenting the ownership of Mr. Graffius' IP. For the aforementioned reasons, the offending authors' misuse of Mr. Graffius' IP was absolutely not "fair use" nor "fair dealing" nor "fair practice" nor otherwise allowed. The offending authors clearly plagiarized Mr. Graffius' protected property and infringed on his copyright.

The offending authors' violation negatively affected the potential market and value of Mr. Graffius' 'Phases of Team Development' IP and related work.

Intellectual property is a strategic asset that provides significant value. Mr. Graffius rigorously maintains, enforces, and protects his IP rights.

The publisher and the offending authors are expected to rectify this egregious violation. Any failure to comply with the demands conveyed in this notice will be considered further evidence of willful infringement and bad-faith conduct, warranting swift and aggressive enforcement action.

The following attachment/accompanying information follows:

Response from The University of Sydney received on 14 May 2025

Subject: Re: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages
Date: Wednesday, May 14, 2025 at 3:14:39 PM Pacific Daylight Time
From: Research Integrity <research.integrity@sydney.edu.au>
To: scott scottgraffius.com <scott@scottgraffius.com>
Attachments: Research Code of Conduct 2023.pdf, 202300825 Research Integrity Info Sheet.pdf

Dear Me Graffius,

Thank you for your email below and I apologies for the delay in responding.

The Research Integrity Office has commenced review of your concerns below regarding the following publication:

" Achieving the unachievable: the development of a large-scale interprofessional education workshop for the first-year health professional students"

Please find attached a copy of the University's Research Code of Conduct and information sheet regarding our process.

We will be touch regarding an update on the matter as this progresses. Please contact research.integrity@sydney.edu.au should you have any questions regarding this matter.

Kind regards,

Kate

Kate Organ | Research Integrity Manager
The University of Sydney
Research Integrity, Research Portfolio
Level 3, F23 Michael Spence Building | The University of Sydney | NSW | 2006
T +61 2 8627 6984
kate.organ@sydney.edu.au | sydney.edu.au
CRICOS 00026A

This email plus any attachments to it are confidential. Any unauthorised use is strictly prohibited.
If you receive this email in error, please delete it and any attachments.
Please think of our environment and only print this email if necessary.

From: scott scottgraffius.com <scott@scottgraffius.com>

Sent: 02 March 2025 10:44

To: office@esmed.org <office@esmed.org>; legal@esmed.org <legal@esmed.org>; editorialteam@esmed.org <editorialteam@esmed.org>; Copyright Information <copyright@sydney.edu.au>; perry.xiao@lsbu.ac.uk <perry.xiao@lsbu.ac.uk>; egle.lastauskiene@gf.vu.lt <egle.lastauskiene@gf.vu.lt>; emailmedical@gmail.com <emailmedical@gmail.com>; Jacqueline Bloomfield <jacqueline.bloomfield@sydney.edu.au>; Christie Van Diggele <christie.vandiggele@sydney.edu.au>; Astrid Frotjold <astrid.frotjold@sydney.edu.au>; Carl Schneider <carl.schneider@sydney.edu.au>; Rosa Howard <rosa.howard@sydney.edu.au>; Stuart Lane <stuart.lane@sydney.edu.au>; crreception@penorth.com.au <crreception@penorth.com.au>; roncati.luca@aou.mo.it <roncati.luca@aou.mo.it>; Vice Chancellor <vice.chancellor@sydney.edu.au>; Records Online <records.online@sydney.edu.au>; Research Integrity <research.integrity@sydney.edu.au>; legal@sydney.edu.au <legal@sydney.edu.au>; Internal Audit

<internal.audit@sydney.edu.au>; Cheryl Jones <cheryl.jones@sydney.edu.au>; remy.guillevin@chu-poitiers.fr <remy.guillevin@chu-poitiers.fr>; rivir@bgu.ac.il <rivir@bgu.ac.il>; j.a.g.buchanan@qmul.ac.uk <j.a.g.buchanan@qmul.ac.uk>; peter.goadsby@kcl.ac.uk <peter.goadsby@kcl.ac.uk>; charlotte.erlanson-albertsson@med.lu.se <charlotte.erlanson-albertsson@med.lu.se>

Subject: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

European Society of Medicine, and Offending Authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane:

As delineated with incontrovertible and unequivocal evidence in the Details section of **the attached letter**, your publication extensively misused my copyrighted 'Phases of Team Development' property—including numerous instances of blatant verbatim copying—without permission or attribution. The brazen plagiarism and infringement constitute a profound and disgraceful breach of professional ethics, moral standards, and my intellectual property rights.

I demand that you:

1. **The Publisher - Cease Use and Distribution:** Remove all uses, reproductions, distributions, public performances, or displays of your materials in which my copyrighted property appears. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.
2. **The Publisher - Remove All Instances:** Remove all electronic copies of your materials containing my copyrighted property from all platforms, including but not limited to websites, social media, and any commercial or promotional applications. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. If there are hard copies, securely destroy (e.g., by shredding and recycling) all of them. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.

3. **The Offending Authors - Remit Compensation for Damages:** The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—are liable for all damages resulting from their unauthorized use of my copyrighted property. Such damages include, but are not limited to, loss of licensing revenue, diminution of market value, unauthorized commercial exploitation, and reputational harm. The offending authors must engage in good faith discussions via email within 10 calendar days from today to negotiate the nature and amount of compensation and deliver said compensation within 20 calendar days from today. Failure to comply will prompt proceedings to enforce my rights and recover damages for your infringement of my copyright.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com

The following attachment/accompanying information follows:

Follow-up from Scott M. Graffius sent on 7 December 2025

Subject: Re: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

Date: Sunday, December 7, 2025 at 12:55:14 AM Pacific Standard Time

From: scott scottgraffius.com <scott@scottgraffius.com>

To: Research Integrity <research.integrity@sydney.edu.au>, vice.chancellor@sydney.edu.au <vice.chancellor@sydney.edu.au>, legal@sydney.edu.au <legal@sydney.edu.au>, info.centre@sydney.edu.au <info.centre@sydney.edu.au>, rachel.fergus@sydney.edu.au <rachel.fergus@sydney.edu.au>, gregory.miskelly@sydney.edu.au <gregory.miskelly@sydney.edu.au>, rachel.fergus@sydney.edu.au <rachel.fergus@sydney.edu.au>, clare.masters@sydney.edu.au <clare.masters@sydney.edu.au>, chancellor@sydney.edu.au <chancellor@sydney.edu.au>, media.office@sydney.edu.au <media.office@sydney.edu.au>, records.online@sydney.edu.au <records.online@sydney.edu.au>

Attachments: notice-to-european-society-of-medicine-and-offending-authors-of-infringement-of-scott-m-graffius'-intellectual-property-and-damages.pdf

David Thodey, Chancellor
Mark Scott, Vice-Chancellor & President
The University of Sydney

I reported this damaging, disgraceful, immoral, unethical, unprofessional, and illegal matter in March.

Two hundred eighty (280) calendar days have elapsed since then.

What has been done?!

I re-attached the PDF I provided with my original communiqué.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com

From: Research Integrity <research.integrity@sydney.edu.au>

Date: Wednesday, May 14, 2025 at 3:14 PM

To: "scott scottgraffius.com" <scott@scottgraffius.com>

Subject: Re: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

Dear Me Graffius,

Thank you for your email below and I apologise for the delay in responding.

The Research Integrity Office has commenced review of your concerns below regarding the following publication:

" Achieving the unachievable: the development of a large-scale interprofessional education workshop for the first-year health professional students"

Please find attached a copy of the University's Research Code of Conduct and information sheet regarding our process.

We will be touch regarding an update on the matter as this progresses. Please contact research.integrity@sydney.edu.au should you have any questions regarding this matter.

Kind regards,

Kate

Kate Organ | Research Integrity Manager
The University of Sydney
Research Integrity, Research Portfolio

Level 3, F23 Michael Spence Building | The University of Sydney | NSW | 2006
T +61 2 8627 6984
kate.organ@sydney.edu.au | sydney.edu.au

CRICOS 00026A

This email plus any attachments to it are confidential. Any unauthorised use is strictly prohibited.
If you receive this email in error, please delete it and any attachments.

Please think of our environment and only print this email if necessary.

From: scott scottgraffius.com <scott@scottgraffius.com>

Sent: 02 March 2025 10:44

To: office@esmed.org <office@esmed.org>; legal@esmed.org <legal@esmed.org>;
editorialteam@esmed.org <editorialteam@esmed.org>; Copyright Information <copyright@sydney.edu.au>;
perry.xiao@lsbu.ac.uk <perry.xiao@lsbu.ac.uk>; egle.lastauskiene@gf.vu.lt <egle.lastauskiene@gf.vu.lt>;

emailmedical@gmail.com <emailmedical@gmail.com>; Jacqueline Bloomfield <jacqueline.bloomfield@sydney.edu.au>; Christie Van Diggele <christie.vandiggele@sydney.edu.au>; Astrid Frotjold <astrid.frotjold@sydney.edu.au>; Carl Schneider <carl.schneider@sydney.edu.au>; Rosa Howard <rosa.howard@sydney.edu.au>; Stuart Lane <stuart.lane@sydney.edu.au>; crreception@penorth.com.au <crreception@penorth.com.au>; roncati.luca@aou.mo.it <roncati.luca@aou.mo.it>; Vice Chancellor <vice.chancellor@sydney.edu.au>; Records Online <records.online@sydney.edu.au>; Research Integrity <research.integrity@sydney.edu.au>; legal@sydney.edu.au <legal@sydney.edu.au>; Internal Audit <internal.audit@sydney.edu.au>; Cheryl Jones <cheryl.jones@sydney.edu.au>; remy.guillevin@chu-poitiers.fr <remy.guillevin@chu-poitiers.fr>; rivir@bgu.ac.il <rivir@bgu.ac.il>; j.a.g.buchanan@qmul.ac.uk <j.a.g.buchanan@qmul.ac.uk>; peter.goadsby@kcl.ac.uk <peter.goadsby@kcl.ac.uk>; charlotte.erlanson-albertsson@med.lu.se <charlotte.erlanson-albertsson@med.lu.se>

Subject: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

European Society of Medicine, and Offending Authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane:

As delineated with incontrovertible and unequivocal evidence in the Details section of **the attached letter**, your publication extensively misused my copyrighted 'Phases of Team Development' property—including numerous instances of blatant verbatim copying—without permission or attribution. The brazen plagiarism and infringement constitute a profound and disgraceful breach of professional ethics, moral standards, and my intellectual property rights.

I demand that you:

1. **The Publisher - Cease Use and Distribution:** Remove all uses, reproductions, distributions, public performances, or displays of your materials in which my copyrighted property appears. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.
2. **The Publisher - Remove All Instances:** Remove all electronic copies of your materials containing my copyrighted property from all platforms,

including but not limited to websites, social media, and any commercial or promotional applications. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. If there are hard copies, securely destroy (e.g., by shredding and recycling) all of them. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.

3. **The Offending Authors - Remit Compensation for Damages:** The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—are liable for all damages resulting from their unauthorized use of my copyrighted property. Such damages include, but are not limited to, loss of licensing revenue, diminution of market value, unauthorized commercial exploitation, and reputational harm. The offending authors must engage in good faith discussions via email within 10 calendar days from today to negotiate the nature and amount of compensation and deliver said compensation within 20 calendar days from today. Failure to comply will prompt proceedings to enforce my rights and recover damages for your infringement of my copyright.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com

The following attachment/accompanying information follows:

Response from The University of Sydney received on 7 December 2025

Subject: Re: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages
Date: Sunday, December 7, 2025 at 1:38:16 PM Pacific Standard Time
From: Research Integrity <research.integrity@sydney.edu.au>
To: scott scottgraffius.com <scott@scottgraffius.com>
Attachments: 20251208 Letter DO to Mr Graffius outcome.pdf, Research Code of Conduct 2023.pdf

Dear Mr Graffius,

Apologies for the delay in responding .

Please find attached a letter from the Designated Officer, Dr Susan Maastricht, with respect to the outcome of the recent research integrity matter.

Please contact research.integrity@sydney.edu.au should you have any questions with respect to the attached.

Kind regards,

Kate

Kate Organ | Research Integrity Manager
The University of Sydney
Research Integrity, Research Portfolio
Level 3, F23 Michael Spence Building | The University of Sydney | NSW | 2006
T +61 2 8627 6984
kate.organ@sydney.edu.au | sydney.edu.au
CRICOS 00026A

This email plus any attachments to it are confidential. Any unauthorised use is strictly prohibited.
If you receive this email in error, please delete it and any attachments.
Please think of our environment and only print this email if necessary.

From: scott scottgraffius.com <scott@scottgraffius.com>

Sent: 07 December 2025 19:55

To: Research Integrity <research.integrity@sydney.edu.au>; Vice Chancellor <vice.chancellor@sydney.edu.au>; legal@sydney.edu.au <legal@sydney.edu.au>; Info Centre <info.centre@sydney.edu.au>; Rachel Fergus <rachel.fergus@sydney.edu.au>; Gregory Miskelly <gregory.miskelly@sydney.edu.au>; Rachel Fergus <rachel.fergus@sydney.edu.au>; Clare Masters <clare.masters@sydney.edu.au>; Chancellor University of Sydney <chancellor@sydney.edu.au>; Media Office <media.office@sydney.edu.au>; Records Online <records.online@sydney.edu.au>

Subject: Re: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

David Thodey, Chancellor
Mark Scott, Vice-Chancellor & President
The University of Sydney

I reported this damaging, disgraceful, immoral, unethical, unprofessional, and illegal matter in March.

Two hundred eighty (280) calendar days have elapsed since then.

What has been done?!

I re-attached the PDF I provided with my original communiqué.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com

From: Research Integrity <research.integrity@sydney.edu.au>

Date: Wednesday, May 14, 2025 at 3:14 PM

To: "scott scottgraffius.com" <scott@scottgraffius.com>

Subject: Re: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

Dear Me Graffius,

Thank you for your email below and I apologies for the delay in responding.

The Research Integrity Office has commenced review of your concerns below regarding the following publication:

" Achieving the unachievable: the development of a large-scale interprofessional education workshop for the first-year health professional students"

Please find attached a copy of the University's Research Code of Conduct and information sheet regarding our process.

We will be touch regarding an update on the matter as this progresses. Please contact research.integrity@sydney.edu.au should you have any questions regarding this matter.

Kind regards,

Kate

Kate Organ | Research Integrity Manager

The University of Sydney

Research Integrity, Research Portfolio

Level 3, F23 Michael Spence Building | The University of Sydney | NSW | 2006

T +61 2 8627 6984

kate.organ@sydney.edu.au | sydney.edu.au

CRICOS 00026A

This email plus any attachments to it are confidential. Any unauthorised use is strictly prohibited.

If you receive this email in error, please delete it and any attachments.

From: scott scottgraffius.com <scott@scottgraffius.com>

Sent: 02 March 2025 10:44

To: office@esmed.org <office@esmed.org>; legal@esmed.org <legal@esmed.org>; editorialteam@esmed.org <editorialteam@esmed.org>; Copyright Information <copyright@sydney.edu.au>; perry.xiao@lsbu.ac.uk <perry.xiao@lsbu.ac.uk>; egle.lastauskiene@gf.vu.lt <egle.lastauskiene@gf.vu.lt>; emailmedical@gmail.com <emailmedical@gmail.com>; Jacqueline Bloomfield <jacqueline.bloomfield@sydney.edu.au>; Christie Van Diggele <christie.vandiggele@sydney.edu.au>; Astrid Frotjold <astrid.frotjold@sydney.edu.au>; Carl Schneider <carl.schneider@sydney.edu.au>; Rosa Howard <rosa.howard@sydney.edu.au>; Stuart Lane <stuart.lane@sydney.edu.au>; crreception@penorth.com.au <crreception@penorth.com.au>; roncati.luca@aou.mo.it <roncati.luca@aou.mo.it>; Vice Chancellor <vice.chancellor@sydney.edu.au>; Records Online <records.online@sydney.edu.au>; Research Integrity <research.integrity@sydney.edu.au>; legal@sydney.edu.au <legal@sydney.edu.au>; Internal Audit <internal.audit@sydney.edu.au>; Cheryl Jones <cheryl.jones@sydney.edu.au>; remy.guillevin@chu-poitiers.fr <remy.guillevin@chu-poitiers.fr>; rivir@bgu.ac.il <rivir@bgu.ac.il>; j.a.g.buchanan@qmul.ac.uk <j.a.g.buchanan@qmul.ac.uk>; peter.goadsby@kcl.ac.uk <peter.goadsby@kcl.ac.uk>; charlotte.erlanson-albertsson@med.lu.se <charlotte.erlanson-albertsson@med.lu.se>

Subject: Notice to European Society of Medicine and Offending Authors: Infringement of Scott M. Graffius' Intellectual Property and Damages

European Society of Medicine, and Offending Authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane:

As delineated with incontrovertible and unequivocal evidence in the Details section of **the attached letter**, your publication extensively misused my copyrighted 'Phases of Team Development' property—including numerous instances of blatant verbatim copying—without permission or attribution. The brazen plagiarism and infringement constitute a profound and disgraceful breach of professional ethics, moral standards, and my intellectual property rights.

I demand that you:

1. **The Publisher - Cease Use and Distribution:** Remove all uses, reproductions, distributions, public performances, or displays of your materials in which my copyrighted property appears. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for

your knowing and willful infringement of my copyright.

2. **The Publisher - Remove All Instances:** Remove all electronic copies of your materials containing my copyrighted property from all platforms, including but not limited to websites, social media, and any commercial or promotional applications. A full removal and retraction of the content is mandatory. Any alternative actions, including but not limited to a corrigendum, correction, or amendment, shall be deemed insufficient and inadequate. If there are hard copies, securely destroy (e.g., by shredding and recycling) all of them. This must be done within 10 calendar days from today. Confirm via email within 10 calendar days from today that you have complied with this demand. Failure to comply will prompt proceedings to enforce my rights and recover damages for your knowing and willful infringement of my copyright.
3. **The Offending Authors - Remit Compensation for Damages:** The offending authors—Jacqueline Bloomfield, Christie van Diggele, Astrid Frotjold, Carl Schneider, Rosa Howard, Christopher Roberts, and Stuart Lane—are liable for all damages resulting from their unauthorized use of my copyrighted property. Such damages include, but are not limited to, loss of licensing revenue, diminution of market value, unauthorized commercial exploitation, and reputational harm. The offending authors must engage in good faith discussions via email within 10 calendar days from today to negotiate the nature and amount of compensation and deliver said compensation within 20 calendar days from today. Failure to comply will prompt proceedings to enforce my rights and recover damages for your infringement of my copyright.

I expressly reserve all rights in this disturbing and consequential matter.

Sincerely,

Scott M. Graffius

scott@scottgraffius.com



THE UNIVERSITY OF
SYDNEY

Dr Susan Maastricht

Director, Research Integrity and Ethics Administration

8 December 2025

Mr Scott Graffius

By email: scott@scottgraffius.com

PRIVATE & CONFIDENTIAL

WITHOUT PREJUDICE

Dear Mr Graffius,

Outcome of Preliminary Assessment.

I am writing in relation to concerns you raised with the Research Integrity Office (RIO) on 2 March 2025 regarding an image contained in a publication on which University of Sydney staff members Professor Jacqueline Bloomfield, Dr Christie van Diggele, Dr Astrid Frotjold, Associate Professor Carl Schneider, Dr Rosa Howard and Professor Stuart Lane and former staff member Professor Christopher Roberts (the **Authors**) are listed authors. The concerns relate to the publication titled:

"Achieving the unachievable: the development of a large scale professional education workshop for first-year health professional students"
<https://doi.org/10.18103/mra.v12i3.5118> (the **Publication**)

In brief, the concerns raised were that the Authors may have:

- plagiarised and reproduced the infographic "Phases of Team Development" developed by you without permission, appropriate attribution or acknowledgement.

I conducted a preliminary assessment in my role as the Designated Officer under the University's *Research Code of Conduct 2023* (the **Research Code**) giving careful consideration to the documentation and information provided to me by the RIO.

Findings

I have reviewed the infographic provided by you and note that in the development of the infographic you have built on two prior publications:

- Tuckman, B. W. (1965). "Developmental sequence in small groups", *Psychological bulletin*, 63(6), 384; and
- Tuckman, B. W., & Jensen, M. A. C. (1977). "Stages of Small-Group Development Revisited", *Group & Organization Studies*, 2(4), 419-427. <https://doi.org/10.1177/105960117700200404> (Original work published 1977).

I also note that you have distilled the wording from these publications to uniquely incorporate them both in the infographic developed and the uniqueness of your infographic is such that you should have been cited and acknowledged within the Publication.



I therefore consider that a possible breach of clauses 8(2)(p), 11(5) and (6)(a) of the Research Code may have occurred.

In reviewing correspondence between the Authors regarding the submission of the final manuscript for publication, I note that the final manuscript appears to have been submitted without all of the authors being aware of or having reviewed the manuscript for approval prior to submission. Additionally, I note that not all authors were contacted by the journal editors with respect to the Publication's acceptance, and that they did not see the final manuscript and were not asked to provide their approval or contacted by the journal.

In my view appropriate communication among the authors and best practice processes for publication and dissemination of findings has not occurred. All of the authors should have had an opportunity to review the final version of the Publication.

However, as clearly indicated in the Research Code clause 12(9) that "*all listed authors are considered collectively accountable for the whole research output*". Given that all of the Authors did not review or approve the Publication prior to final submission for publication and that the failure for a collective review of the Publication may have contributed to this matter arising I consider that clause 12(11) of the Research Code may have been breached.

Consideration of the seriousness of the breach

In assessing the seriousness of the breaches, I consider that the failure to cite, attribute and acknowledge the work to be a significant departure from academic practice.

I have considered the factors provided in clause 19(2) of the Research Code as well as mitigating factors. With respect to these mitigations, I note that all authors were not provided with the opportunity to review the final version of the Publication and if they had, may have been able to take appropriate action. However, as I noted above all authors are considered collectively responsible for the accuracy of the Publication.

Additionally, the Publication was only available for a relatively short period of time approximately twelve months prior to being removed from the public record, however, I note that none of the authors acted to correct the public record via a corrigendum addressing citation requirements. I do not consider these mitigating factors are sufficient to reduce the seriousness of the breach.

I further consider that as the Publication was only available for a relatively short period of time and has now been removed from the public domain and was not cited, the impact to the trustworthiness of research, research participants, animals, the environment and the wider community would be minimal. I note that the authors are all relatively experienced researchers and have not had any prior breaches of the Research Code. Additionally, I have found no evidence of any institutional failures with respect to the matter.

For these reasons, I consider the allegation, if proven, would constitute a moderate (on the higher end of minor and lower end of moderate) breach of the Research Code and does not warrant further investigation.

Recommendations

In light of the above findings, I have recommended to the relevant Faculty that:



THE UNIVERSITY OF
SYDNEY

- The Authors are required to undertake training on responsible research practices.
- The Authors must in future, use an authorship agreement and ensure all authors review a final manuscript prior to final submission for publication.
- Should the Publication be again made available in the public domain:
 - seek appropriate permission to use the infographic; and
 - ensure that the appropriate reference and citation is made to the infographic within the publication by way of a corrigendum.

Please contact the Research Integrity Office at research.integrity@sydney.edu.au if you have any questions in relation to this matter.

Yours sincerely,

Dr Susan Maastricht

Director, Research Integrity and Ethics Administration

CC: Research Integrity Office

Attachment: University of Sydney Research Code of Conduct 2023

RESEARCH CODE OF CONDUCT 2023

The Deputy Vice-Chancellor (Research), as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 26 July 2023

Last amended: 26 July 2023

Signature:

Position: Deputy Vice-Chancellor (Research)

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1 Name of policy

This is the Research Code of Conduct 2023.

2 Commencement

This policy commences on 1 September 2023.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

This policy:

- (a) states the University's commitment to responsible research practice in accordance with the [Australian Research Code](#);
- (b) describes good research practice;
- (c) promotes integrity in research;
- (d) explains the University's expectations of researchers, including their obligations to comply with this policy and the [Australian Research Code](#);
- (e) sets out the process for dealing with allegations of breaches of this policy and the [Australian Research Code](#); and
- (f) supports the University's values of respect and integrity, and inclusion and diversity.

Note: Additional obligations may apply to grant funded research, and researchers should check the terms of any applicable funding agreement or contract and the policies and guidelines of their funding bodies. Researchers should also check local requirements before conducting research in countries other than Australia.

5 Application

This policy applies to the University, staff, students and affiliates.

6 Definitions

affiliate	<p>has meaning given in the Staff and Affiliates Code of Conduct 2021 which at the date of this policy is: means a person appointed or engaged by the University to perform duties or functions on its behalf, including but not limited to:</p> <ul style="list-style-type: none"> • an honorary title holder engaged under the Honorary Titles Policy 2013; • a consultant or contractor to the University; and • an office holder in a University entity, a member of any University committee, board or foundation. <p>An affiliate is not an employee of the University.</p>
animal	<p>means any:</p> <ul style="list-style-type: none"> • live non-human vertebrate (e.g. fish, amphibians, reptiles, birds, mammals, domestic animals, purpose-bred animals, livestock, wildlife); • cephalopod (e.g. octopus, cuttlefish, squid); • animal at early stages of development, including: <ul style="list-style-type: none"> • embryonic and foetal forms of mammals; • birds and reptiles that have progressed beyond half the gestation or incubation period; • fish and amphibia once they can feed independently; and • cephalopods at the point when they hatch. <p>Note: If conducting research or teaching in Victoria, the definition also includes live adult decapod crustaceans (e.g. lobsters, crayfish, crabs).</p>
Australian Research Code	<p>means the Australian Code for the Responsible Conduct of Research as amended or replaced from time to time.</p>
breach of this policy	<p>means one or more failures to comply with the principles and responsibilities set out in this policy. Serious breach of this policy may constitute research misconduct.</p> <p>Note: See clause 20. As this policy requires researchers to comply with the Australian Research Code, any breaches of that Code will also constitute a breach of this policy.</p>

clinical trial	<p>has the meaning given in the Clinical Trials Policy 2016. At the date of this policy that is:</p> <p>any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes.</p> <p>Clinical trial interventions include, but are not limited to:</p> <ul style="list-style-type: none"> • experimental drugs; • cells and other biological products; • vaccines; • medical devices; • surgical and other medical treatments and procedures; • psychotherapeutic and behavioural therapies; • health-related service changes; • health-related preventive care strategies; and • health-related educational interventions.
conflict of interests	<p>In a research context, a conflict of interests may exist where there is a risk (whether actual, potential or perceived) that a researcher's professional judgement or actions may be influenced by a personal, financial or other external interest or relationship.</p>
Dean	<p>includes, as appropriate, an Executive Dean or Dean of a faculty, or a Head of School and Dean of a University school.</p>
delegate	<p>has the meaning given in the University of Sydney (Delegations of Authority) Rule 2020. At the date of this policy this is:</p> <p>means an employee, member or committee of Senate or any other person or entity to whom or to which a delegation has been made by Senate</p>
designated officer	<p>means the person or persons designated by the University under clause 21 of this policy to:</p> <ul style="list-style-type: none"> • receive complaints about the conduct of research or potential breaches of this policy; and • oversee their management and investigation where required.
DVC(R)	<p>means Deputy Vice-Chancellor (Research).</p>
Enterprise Agreement	<p>means the University of Sydney Enterprise Agreement 2018-2021 or any replacement agreement.</p>
executive supervisor	<p>has the meaning given in the External Interests Policy 2010. At the date of this policy this is:</p> <p>means the relevant Dean, Head of School and Dean (University school), Director or other chief officer of an administrative area, Deputy Vice-Chancellor or Vice-Chancellor, as the case may be.</p>
faculty	<p>means, as appropriate, a faculty or a University school.</p>

human research	<p>means research involving human beings through:</p> <ul style="list-style-type: none">• taking part in surveys, interviews or focus groups;• undergoing psychological, physiological or medical testing or treatment;• being observed by researchers;• researchers having access to personal information or other materials, including information in existing sources or databases (published or unpublished); or• the collection and use of body organs, tissues or fluids (e.g. skin, blood, urine, saliva, hair, bones, tumour and other biopsy specimens or exhaled breath).
HREC	<p>means registered Human Research Ethics Committee registered by the National Health and Medical Research Council.</p>
intellectual property	<p>has the meaning given to it in the Intellectual Property Policy 2016. As at the date of this policy, that is:</p> <p>includes rights (including, without limitation, rights of registration or application for registration) relating to:</p> <ul style="list-style-type: none">• literary (including computer programs), artistic, musical and scientific works;• multimedia subject matter;• performances of performing artists, phonograms and broadcasts;• inventions in all fields of human endeavour;• scientific discoveries;• industrial designs;• trademarks, service marks and commercial names and designations;• plant varieties; and• circuit layouts. <p>It does not include any moral right.</p>
investigation	<p>means an investigation conducted in accordance with clause 28 of this policy following a preliminary assessment.</p>
lead researcher	<p>means the person responsible for the intellectual, administrative and ethical aspects of a research project.</p>
peer review	<p>means impartial and independent assessment of research by others working in the same or a related field.</p>
plagiarism	<p>means presenting another's work as one's own work by presenting, copying or reproducing it without appropriate acknowledgement of the source.</p>

procedural fairness	<p>has the meaning given in the Guide to managing and investigating potential breaches of the Australian Code for the Responsible Conduct of Research, 2018. At the date of this policy, this is:</p> <p style="padding-left: 40px;">the principles of proportional, fair, impartial, timely, transparent and confidential, as defined in this guide.</p>
preliminary assessment	<p>means the process undertaken to establish whether an alleged breach of this policy warrants further investigation.</p> <p>Note: See clause 24</p>
research	<p>means investigation undertaken to gain or advance knowledge, understanding and insight.</p> <ul style="list-style-type: none"> • It includes the creation of new knowledge and the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative. • It does not include routine testing and routine analysis of materials, components and processes or the development of teaching materials or similar work.
research integrity adviser	<p>means an individual appointed to promote the responsible conduct of research and provide advice to those with concerns or complaints about breaches of this policy.</p>
research trainee	<p>includes:</p> <ul style="list-style-type: none"> • early career researchers; • higher degree by research (HDR) students; • undergraduate students; and • other inexperienced researchers.
researcher	<p>means any staff member, student or affiliate (including professors emeriti) who conducts or assists with the conduct of research (including research trainees).</p>
research misconduct	<p>has the meaning given in clause 20 of this policy.</p>
responsible executive officer	<p>means the senior officer who has final responsibility for:</p> <ul style="list-style-type: none"> • receiving reports of the outcomes of investigations of allegations of breaches of this policy; and • deciding on the actions to be taken.
review officer	<p>means a person designated by the University to conduct a procedural review of the management of a complaint about alleged breaches of this policy.</p>
scientific purposes	<p>means all activities conducted with the aim of acquiring, developing or demonstrating knowledge or techniques in all areas of science including teaching (at primary, secondary, tertiary and post-graduate levels).</p>

tissue	<p>means an organ or part of a human body or any substance extracted from, or from part of, the human body, including:</p> <ul style="list-style-type: none"> • ova; • semen; • urine; • sputum; • blood; • foetal tissue; and • teeth. <p>For the purposes of this policy, “tissue” does not include cell lines or stem cells, the latter of which are subject to a separate and specialised regulatory framework.</p> <p>Note: See Research Involving Human Embryos Act 2002; Prohibition of Cloning Act 2002 (Cth); NHMRC Ethical guidelines on the use of assisted reproductive technology 2017; NHMRC Embryo Research Licensing Committee.</p>
tissue bank	<p>means a collection of tissue samples held with the intention of distributing them to researchers (within and external to the University) upon request and for a variety of projects. Samples held in tissue banks are linked to donor personal and health information (such as diagnosis and patient age).</p>
tissue holdings	<p>means tissue samples that have been given HREC approval to be held for project specific use.</p> <p>Note: HREC approval only permits these tissues to be used in specific projects that were fully described at the time of collection.</p>

PART 1 – PROPER CONDUCT OF RESEARCH

7 Principles of responsible research conduct

- (1) Responsible research conduct is characterised by the following:
 - (a) **honesty** in developing, undertaking and reporting research, including presenting information truthfully and accurately in proposing, conducting and reporting research;
 - (b) **rigour** in developing, undertaking and reporting research, including underpinning research by:
 - (i) attention to detail;
 - (ii) robust methodology; and
 - (iii) avoiding or acknowledging biases;
 - (c) **transparency** in declaring interests and reporting research methodology, data and findings, including:
 - (i) sharing and communicating research methodology, data and findings openly, responsibly and accurately; and

- (ii) disclosing and managing conflicts of interest;
 - (d) **fairness** in the treatment of others, including:
 - (i) treating fellow researchers and others involved in the research fairly and with respect;
 - (ii) appropriately referencing and citing the work of others; and
 - (iii) giving credit, including authorship where appropriate, to those who have contributed to the research;
 - (e) **respect** for research participants, the wider community, animals and the environment, including:
 - (i) treating human participants and communities that are affected by the research with care and respect;
 - (ii) giving appropriate consideration to the needs of minority groups or vulnerable people;
 - (iii) ensuring that respect underpins all decisions and actions related to the care and use of animals in research; and
 - (iv) minimising adverse effects of the research on the environment;
 - (f) **recognising** the right of Aboriginal and Torres Strait Islander peoples to be engaged in research that affects or is of particular significance to them, including:
 - (i) recognising, valuing and respecting the diversity, heritage, knowledge, cultural property and connection to land of Aboriginal and Torres Strait Islander peoples;
 - (ii) engaging with Aboriginal and Torres Strait Islander peoples prior to research being undertaken, so that they freely make decisions about their involvement; and
 - (iii) reporting to Aboriginal and Torres Strait Islander peoples the outcomes of research in which they have engaged;
 - (g) **accountability** for the development, undertaking and reporting of research, including:
 - (i) complying with relevant legislation, policies and guidelines;
 - (ii) appropriate management of public resources to conduct research; and
 - (iii) considering the consequences and outcomes of research prior to its communication;
 - (h) **promotion** of responsible research practices, including:
 - (i) promoting and fostering a research culture and environment that supports the responsible conduct of research.
- (2) The University acknowledges its responsibility to:
 - (a) establish and maintain good governance and management practices for responsible research conduct;
 - (b) identify and comply with relevant laws, regulations, guidelines and policies related to the conduct of research;
 - (c) develop and maintain the currency and ready availability of a suite of policies and procedures which ensure that institutional practices are consistent with the principles and responsibilities of the [Australian Research Code](#);

- (d) provide ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles;
- (e) ensure supervisors of research trainees have the appropriate skills, qualifications and resources;
- (f) identify and train research integrity advisers who assist in the promotion and fostering of responsible research conduct and provide advice to those with concerns about potential breaches of this policy;
- (g) support the responsible dissemination of research findings, and where necessary, take action to correct the record in a timely manner;
- (h) provide access to facilities for the safe and secure storage and management of research data, records and primary materials and, where possible and appropriate, allow access and reference;
- (i) facilitate the prevention and detection of potential breaches of this policy;
- (j) provide mechanisms to receive concerns or complaints about potential breaches of this policy and to investigate and resolve potential breaches;
- (k) provide a process for managing and investigating concerns or complaints about potential breaches which is timely, effective and in accord with procedural fairness;
- (l) support the welfare of all parties involved in an investigation of a potential breach of this policy;
- (m) base findings of investigations on the balance of probabilities and take the appropriate actions that are commensurate with the seriousness of the breach; and
- (n) support the development of Aboriginal and Torres Strait Islander research capacity and capability.

8 General responsibilities of researchers

- (1) The responsibilities of researchers under this policy include a requirement to comply with the [Australian Research Code](#).
- (2) Researchers must foster and maintain high standards of responsible research. This includes:
 - (a) respecting the rights of those affected by their research;
Note: See subclauses 8(3) to 8(7).
 - (b) supporting a culture of responsible research conduct at the University and in their field of practice;
 - (c) providing guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitoring their conduct;
Note: See clause 10.
 - (d) undertaking and promoting education and training in responsible research conduct, as well as any other training relevant to their research;

- (e) complying with the relevant laws, regulations, professional or disciplinary standards, ethics guidelines and University policies related to responsible research conduct;
- (f) obtaining ethics and any other necessary approvals before conducting research, and that conditions of any approvals are adhered to during the course of research;
Note: See subclauses 8(3) and 8(4).
- (g) applying the ethics principles of research merit and integrity, justice, beneficence and respect to human research;
Note: See subclauses 8(3), 8(5), 8(6), 8(7) and 8(8).
- (h) engaging with Aboriginal and Torres Strait Islander peoples and respecting their legal rights and local laws, customs and protocols;
Note: See subclause 8(7).
- (i) at all stages of research involving animals, giving consideration to:
 - (i) replacing animals with other methods,
 - (ii) reducing the number of animals used,
 - (iii) refining techniques used to minimise the adverse impact on animals and;
 - (iv) supporting the welfare and wellbeing of animals;**Note:** See subclause 8(4) and [Animal Research Act 1985 \(NSW\); Animal Research Regulation 2010 \(NSW\); Australian code for the care and use of animals for scientific purposes](#).
- (j) adopting methods appropriate to the aims of the research and ensuring that conclusions are justified by the results;
- (k) retaining clear, accurate, secure and complete records of all research including research data and primary materials, and where possible and appropriate, allowing access and reference to these by interested parties;
Note: See clause 9 and [Research Data Management Policy 2014, Research Data Management Procedures 2015](#)
- (l) disseminating research findings responsibly, accurately and broadly, and where necessary, taking action to correct the record in a timely manner;
Note: See clause 11 and [Public Comment Policy; Charter of Freedom of Speech and Academic Freedom; Research Agreements Policy 2011](#)
- (m) disclosing and managing actual, potential or perceived conflicts of interest;
Note: See clause 14.
- (n) ensuring that authors of research outputs are all those, and only those, who:
 - (i) have made a significant intellectual or scholarly contribution to the research and its output; and
 - (ii) agree to be listed as an author;**Note:** See clause 12.
- (o) acknowledging those who have contributed to the research;
Note: See clause 12.

- (p) citing and acknowledging other relevant work appropriately and accurately;
 - (q) participating in peer review in a way that is fair, rigorous and timely and maintains the confidentiality of the content;
- Note:** See clause 13.
- (r) reporting suspected breaches of this policy to the University in a timely manner;
- Note:** See Part 2 and [Staff and Affiliates Code of Conduct 2021](#); [Student Charter 2020](#); [External Interests Policy 2010](#); [Reporting Wrongdoing Policy 2012](#); [University of Sydney \(Student Academic Appeals\) Rule 2021](#); [Academic Integrity Policy 2022](#); [Higher Degree by Research Supervision Policy 2020](#)
- (s) citing awards, degrees conferred and research publications accurately, including the status of any publication such as “under review” or “in press”; and
 - (t) complying with the terms of funding agreements or other contracts relating to the research.
- (3) Researchers must respect research participants.
- (a) All researchers must inform themselves about the requirements for conducting human research in their chosen field, including all laws, regulations and codes applicable to human subjects of research.
 - (b) Written approvals from appropriate ethics committees, safety and other regulatory bodies must be obtained when required, and before conducting research. In particular, ethics approval is required for any research within the scope of the [National Statement on Ethical Conduct in Human Research](#).
- Note:** Information and assistance with procedures for compliance can be found on the [Research Support – Human Ethics](#) website.
- (c) Researchers must meet the standards for ethics set out in the [National Statement on Ethical Conduct in Human Research](#) in all research they conduct, whether in Australia or internationally.
- (4) Researchers must respect animals used in research and for other scientific purposes.
- (a) All researchers must inform themselves about the requirements for conducting research involving animals, including all laws, regulations and codes applicable to animal research and other activities involving the use of animals for scientific purposes, such as teaching.
 - (b) Researchers must obtain written approvals from appropriate ethics committees, safety and other regulatory bodies when required, and before conducting research.
 - (c) In particular, ethics approval is required for any activity within the scope of the [Australian code for the care and use of animals for scientific purposes](#), including field trials, environmental studies, diagnosis, teaching, product testing and the production of biological products.
- Note:** See [Animal Ethics Procedures 2022](#)
- (d) Researchers must notify the University’s Animal Ethics Committee (AEC) in writing:
 - (i) if they are involved in collaborative studies using animals at another institution;



- (ii) if they are named in an application to the AEC of another institution and of the outcome of any such application; and
- (iii) if ethics approval from the AEC of another institution is revoked for any reason.

Note: See [Animal Ethics Procedures 2022, Research Support – Animal Ethics](#) website and the [Australian code for the care and use of animals for scientific purposes](#).

- (e) Researchers must meet the Australian standards for ethics set out in the [Australian code for the care and use of animals for scientific purposes](#) in all research they conduct, whether in Australia or internationally.
- (5) Researchers should respect the environment and conduct their research so as to minimise adverse effects on the wider community and the environment.
- (6) Researchers should, where appropriate, encourage and facilitate appropriate consumer and community involvement in research.
 - (a) Additionally, the [NHMRC Statement on Consumer and Community Involvement in Health and Medical Research](#) requires health and medical researchers to:
 - (i) consider how they will involve consumers and community members in the development, conduct and communication of their research; and
 - (ii) have planned, budgeted strategies to support, implement and acknowledge appropriate consumer and community involvement in the research process.
- (7) Researchers have special responsibilities towards Aboriginal and Torres Strait Islander peoples.
 - (a) Research must be considered, meaningful, ethical and beneficial to Aboriginal and Torres Strait Islander people and communities. This includes researchers considering how proposed research will affect Aboriginal and Torres Strait Islander peoples, even when those peoples are not the direct focus of the research.
 - (b) Researchers must consult with the communities involved and respect their legal rights and social laws, customs and protocols.
 - (c) Researchers conducting research relevant to Aboriginal and Torres Strait Islander peoples must familiarise themselves with the following publications:
 - (i) [Keeping Research on Track II 2018](#);
 - (ii) [AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research](#);
 - (iii) [Aboriginal Knowledge and Intellectual Property Protocol Community Guide](#); and
 - (iv) [Ask First: A Guide to Respecting Indigenous Heritage Places and Values](#).
 - (d) When conducting research that may affect the health and wellbeing of Aboriginal and Torres Strait Islander peoples, researchers must:
 - (i) consider the six core values in the NHMRC's "[Ethical conduct in research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for researchers and stakeholders](#)"; and

- (ii) familiarise themselves with the NHMRC's "[Values and Ethics: Guidelines for ethical conduct in Aboriginal and Torres Strait Islander health research](#)".
- (e) Researchers must obtain any additional approvals needed for the research before commencing their study. Examples include approvals from:
 - (i) the NSW Aboriginal Health and Medical Research Council (AH&MRC) Ethics Committee;
 - (ii) the Human Research Ethics Committee of the Northern Territory Department of Health; and
 - (iii) the Menzies School of Health Research; or
 - (iv) an equivalent organisation.
- (8) Researchers also have special responsibilities towards other groups and must engage with appropriate communities, stakeholders and participant groups in the conceptualisation, design and implementation of their research, particularly those with specific interests in the context of the research being conducted.
 - (a) Where such groups are involved in a project, researchers must outline in their ethics application how they have taken these specific interests into account and what those considerations mean in the context of the research.
 - (b) These groups include but are not limited to:
 - (i) women who are pregnant and the human foetus;
 - (ii) children, young people and vulnerable adults;

Note: See also [Working with Children and Vulnerable Adults Policy 2021](#); [Working with Children Procedures – Staff and Affiliates 2021](#); [Working with Children Procedures – Students 2021](#)
 - (iii) people in dependent or unequal relationships;
 - (iv) people highly dependent on medical care who may be unable to give consent;
 - (v) people with a cognitive impairment, an intellectual disability or a mental illness;
 - (vi) people who may be involved in illegal activities; and
 - (vii) people in other countries.

Note: See also [National Statement on Ethical Conduct in Human Research](#)

9 Recordkeeping and management of research data and primary materials

- (1) Responsible conduct of research includes the proper management and retention of clear, accurate, secure and complete records of all research including research data and primary materials. Where possible and appropriate, researchers should allow access and reference to these by interested parties.

Note: See [Recordkeeping Policy 2017](#); [Research Data Management Policy 2014](#); [Research Data Management Procedures 2015](#); [Privacy Policy 2017](#).

 - (a) In particular, sufficient data and materials (including primary research materials such as laboratory e-notebooks and hard copy notes) should be

retained to justify the outcomes of research, and if necessary to defend them against challenge; and

- (b) Final reports on individual research projects that include outcomes of the research project, which are required as state archives must be retained.

Note: See clause 9(6) for applicable time limits.

- (2) The researcher is ultimately responsible for arranging the appropriate retention of data and primary materials, consistently with legislative requirements, University policy and contractual obligations. If necessary, researchers should consult with the University's Archives and Records Management Service for advice about the appropriate length and manner of retention.

Note: See clause 10 of the [Research Data Management Policy 2014](#)

- (3) It is not possible to apply a uniform definition of research data across all disciplines. It is therefore the responsibility of each discipline to define research data and primary materials in a manner appropriate to the discipline.
- (4) It is the responsibility of research teams and individuals undertaking research to familiarise themselves with the relevant definitions prior to undertaking research.
- (5) Faculties and each discipline for which the faculty is responsible, must develop local provisions which consistently address the requirements of legislation and University policy, including:
 - (a) the applicable definition of research data;
 - (b) appropriate methods for managing and appropriately storing research data and primary materials for the full length of their required retention period;
 - (c) the applicable time periods for retention of data or materials of particular kinds;
 - (d) managing data and records when a researcher leaves the University;
 - (e) the records necessary for the proper management of research projects, including appropriate creation, control and storage processes;
 - (f) what original materials are to be retained; and
 - (g) the short and long term access frameworks and any necessary restrictions that apply to research materials, including any privacy or appropriate cultural restrictions.
- (6) The following minimum retention periods, calculated from the date of completion of the research, apply to data and datasets created as part of research activities within the University, and must be appropriately reflected in local provisions and in the short and long term storage arrangements defined for project materials:
 - (a) data of regulatory or community significance must be retained permanently, including data created that are:
 - (i) part of genetic research, including gene therapy;
 - (ii) controversial or of high public interest, or have influence in the research domain;
 - (iii) costly or impossible to reproduce or substitute (i.e. with an alternative data set of acceptable quality and useability) if the primary data are not available; or
 - (iv) related to the use of an innovative technique for the first time.

- (b) records relating to the acquisition, storage, management, maintenance and disposal of bodies, body parts, specimens, human tissue, including agreements for the use and disposal of body parts, are to be retained in accordance with legislative or compliance requirements, then destroyed;
 - (c) data from clinical trials, or research with potential long term effects on humans, which are not of regulatory or community significance must be retained for a minimum of 15 years, or until the participant reaches or would have reached the age of 25, whichever is longer;
 - (d) data which relate to any patent applications must be retained for the life of the patent (generally 20 years);
 - (e) records relating to the treatment of animals used in research must be retained for a minimum of seven years, and then destroyed; and
 - (f) data which do not involve clinical trials, research with potential long-term effects on humans, gene therapy, or which are not of regulatory or community significance must be retained for at least five years.
- Note:** This sub-clause applies to student generated data collected for research purposes but does not apply to student generated data collected only for assessment purposes. See [General Retention and Disposal Authority: GA47](#).
- (7) If the results from research are challenged or are subject to a dispute (including litigation):
 - (a) all relevant data and materials must be retained for at least six months after notification by the University that an investigation or dispute has been finalised, regardless of the expiration of any otherwise applicable retention periods; and
 - (b) any data and records held as part of an investigation process must be retained for seven years.
 - (8) In particular, research records that may be relevant to allegations of a breach of this policy must not be destroyed until such allegations have been determined, including any appeals.
 - (9) Research data, primary materials and records must be collected, stored and secured in compliance with the [Research Data Management Policy 2014](#), [Research Data Management Procedures 2015](#), [Recordkeeping Policy 2017](#), [Privacy Policy 2017](#) and [Privacy Procedures 2018](#). In particular:
 - (a) clear and accurate records of the research methods and data sources must be kept, including approvals granted and signed consent forms, during and after the research process;
 - (b) a catalogue of the research data must be maintained in an accessible form;
 - (c) where participants have signed consent forms for the use and disclosure of their personal information, the forms must be retained with the participant information statements for as long as the data are kept;
 - (d) personal information collected and used for research must be kept secure from unauthorised access for the relevant retention period and then destroyed securely;
 - (e) where external service providers are used, the contract must include adequate safeguards for the security of the data and records, stable long term storage where required, and for notification of any breaches of their security;

- (f) email communications to research participants must not disclose the email addresses of participants to others (e.g. email addresses are to be placed in the “bcc” field rather than in the “cc” field);
 - (g) research data should be stored on University-managed platforms to protect against accidental data loss and particular care should be taken to prevent loss of:
 - (i) portable storage devices such as laptops or USB drives; and
 - (ii) control of or access to other cloud or external storage environments.
 - (h) any personal information arising from the research regarding participants or researchers involved must be collected, stored, used and disclosed in accordance with the [Privacy and Personal Information Protection Act 1998 \(NSW\)](#), [Privacy Act 1998 \(Cth\)](#), the [Health Records and Information Privacy Act 2002 \(NSW\)](#), the [NHMRC Guidelines approved under Sections 95, 95A and 95AA of the Privacy Act 1988 \(Cth\)](#) and any other relevant privacy laws and University policies; and
 - (i) researchers working with research involving participants in the European Union, China or other international jurisdictions should obtain advice from the University’s [Privacy Office](#) on international privacy laws.
- (10) Before commencing cross-disciplinary or collaborative research, research teams and individuals:
- (a) should create a data sharing agreement to determine data ownership and transfer conditions: and
 - (b) must discuss and resolve the applicable method for retaining and storing research data.
- (11) Unless otherwise specifically agreed, research data and primary materials relating to joint research will be retained by the lead researcher, faculty, institute or organisation, which will also be responsible for its appropriate storage and disposal.
- (12) Research data should be made available for use by other stakeholders in accordance with FAIR principles (**F**indable, **A**ccessible, **I**nteroperable, **R**eusable) and funding body requirements unless this is prevented by the requirements of University policy or other ethical, privacy or confidentiality considerations.
- (13) Researchers given access to confidential material (including personal information) must:
- (a) establish and record the conditions governing the confidentiality, including the circumstances in which it may be accessed;
 - (b) maintain that confidentiality by:
 - (i) clearly identifying all data or information which are confidential;
 - (ii) storing such material securely;
 - (iii) recording details of who has access and why; and
 - (iv) disposing of it securely at the appropriate time;and
 - (c) use or disclose the information only in ways agreed to by those who provided it.

10 Supervision of research trainees

- (1) The University is committed to supervisory best practice and recognises its responsibility to ensure that research trainees work in an appropriate intellectual and academic environment and receive appropriate training and supervision.
Note: The University's approach to the supervision of higher degree by research students is set out in the [Higher Degree by Research Supervision Policy 2020](#).
- (2) Researchers must provide guidance and mentorship on responsible research conduct to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct.
- (3) Supervisors must maintain a working knowledge of, and comply with, the legal and policy frameworks that underpin the responsible conduct of research at the disciplinary, institutional and national levels.
 - (a) Supervisors must also be aware of, and comply with the [Autonomous Sanctions Act 2011 \(Cth\)](#), which prohibits the training of researchers in certain topics if they are from a country to which sanctions apply.

11 Publication and dissemination of research findings

- (1) This clause applies to all forms of dissemination, including for example:
 - (a) academic journals or books, including pre-prints;
 - (b) peer-reviewed conference papers;
 - (c) non-refereed publications such as web pages;
 - (d) other media such as interviews, performances, exhibitions or films;
 - (e) professional or institutional repositories;
 - (f) social media; and
 - (g) applications for grants and other forms of financial support.
- (2) Researchers have a responsibility to their colleagues and the wider community to disseminate a full account of their research as broadly as possible.
 - (a) Researchers should endeavour to publish negative results, and results that may be contrary to any stated hypothesis.
 - (b) The University discourages researchers from intentionally engaging with predatory journals and conferences.
Note: See the University Library's [Strategic Publishing Toolkit](#) for more information about predatory publishers. See also [Open Access to University Research Policy 2015](#).
- (3) Publication activities must comply with all applicable laws and take account of any restrictions relating to intellectual property, confidentiality, privacy, or culturally sensitive data.
 - (a) Researchers must, where feasible, provide research participants with an appropriate summary of the research results.
Note: See for example the [NHMRC Statement on Consumer and Community Involvement in Health and Medical Research](#).
 - (b) Researchers publishing research based on data and materials that constitute Indigenous cultural and intellectual property should:

- (i) provide appropriate acknowledgement of traditional owners' rights regarding these data and materials; and
- (ii) present the outcomes in a culturally appropriate and acceptable format.

Note: See clause 8(7).

- (c) Researchers must consider the potential consequences of disseminating their research, to minimise the risk of misinterpretation and the potential for misuse causing harm to human, animal or plant health, the environment or national security.
 - (i) Researchers working with sensitive information, technology or biological agents should obtain advice from the University's [Exports Control](#) team if their research may be subject to control under Australian export controls and sanctions regimes.
- (d) Any research data held in domains such as the Research Data Store must be made appropriate for broader access, after security or confidentiality controls have been applied to the data such as redaction or other actions, that respect privacy, security and confidentiality and minimise risks to research participants.
- (4) Researchers must take all reasonable steps to ensure that their methodology, data and findings are accurate and properly reported.
 - (a) If they become aware of misleading or inaccurate statements in their own work, or about their own work by a third party, they should correct the record as soon as possible.
- (5) Researchers must appropriately reference the work of others when disseminating research findings. The University regards plagiarism very seriously, and all involved must take responsibility for ensuring that their work includes accurate and complete references to the work of others.

Note: See [Enterprise Agreement](#); [Staff and Affiliates Code of Conduct 2021](#); [Student Charter 2020](#); [Academic Integrity Policy 2022](#).

- (6) It is unacceptable to include the same research findings (including, e.g. figures, charts and diagrams) in multiple publications, except where clearly explained and accompanied by appropriate referencing. An author who submits substantially similar work to more than one publisher, or who submits work similar to work already published, must disclose this at the time of submission and in the manuscript itself.
 - (a) Researchers must seek permission from the original publisher or copyright owner before republishing research findings.

Note: Contact the University's [Copyright Services](#) for further advice on copyright issues.
- (7) A publication must include information on all sources of financial and in-kind support for the research and any potential and perceived conflicts of interests.
 - (a) Researchers who are staff or affiliates must also comply with the requirements of the University's [External Interests Policy 2010](#).
- (8) Researchers publishing animal research data should incorporate the [Animal Research: Reporting of In Vivo Experiments \(ARRIVE\) guidelines](#).
- (9) Where appropriate, researchers should register their research plans or protocols before commencing research.

- (a) Researchers must register clinical trials in the [Australian New Zealand Clinical Trials Registry](#), or an equivalent registry in the World Health Organisation (WHO) Registry Network to promote access to information about all clinical trials.
 - (b) Researchers performing animal research should consider pre-registration of their protocols prior to conducting research, such as through the international register of preclinical trials, [PreclinicalTrials.EU](#).
- (10) Any agreement with a third party who funds or supports research seeking to delay or restrict the release of research results must be consistent with the [Research Agreements Policy 2011](#).
- (11) The lead researcher must ensure that all parties to the research are made aware of:
 - (a) the nature and scope of any applicable confidentiality agreements; and
 - (b) any contractual arrangements which restrict, delay or limit publication.
- (12) If the confidentiality requirements of a third party who funds research prevent or delay peer review of research until after delivery to the third party, the researcher must:
 - (a) explain to the third party at the outset that the requirements will prevent peer review before delivery of the work to the sponsor; and
 - (b) inform the third party at the time of delivery of the research results that they have not been subject to peer review.
- (13) Researchers are encouraged to seek communications resources and support from their faculty media advisers to assist them to communicate their research findings through the media.

12 Authorship

- (1) This clause applies to all forms of publication, including, but not limited to:
 - (a) web-based publications;
 - (b) conference publications;
 - (c) presentations;
 - (d) media such as exhibitions or films; and
 - (e) professional and institutional repositories.
- (2) Authorship requirements may exist for other documents relating to research, for example:
 - (a) research proposals
 - (b) grant applications
 - (c) reports to funding bodies
 - (d) record of invention applications; or
 - (e) tenders, patents and patent applications.
- (3) Researchers are responsible for familiarising themselves with authorship and publication requirements including requirements relevant to documents of the kind referred to in clause 12(2).

- (4) Individual disciplines and journals may specify different criteria for authorship. However, the University's minimum requirement for authorship is a substantial intellectual or scholarly contribution to the published work in at least one, or preferably two or more of the following:
- (a) conception and design of the project or output;
 - (b) acquisition of data (where this requires significant intellectual input);
 - (c) contribution of knowledge (including indigenous knowledge);
 - (d) analysis and interpretation of data; or
 - (e) drafting or critically revising significant parts of the research output.
- Note:** Authorship requirements vary according to discipline, journal requirements and funding provisions; they may be more stringent in some cases. Researchers are to comply with all relevant authorship requirements, including those in this policy, the [Australian Research Code](#), and any applicable journal guidelines. International best practice guidelines may also apply (e.g. [ICMJE: Defining the role of authors and contributors](#)). It is the responsibility of research teams and individuals conducting research to familiarise themselves with guidelines relevant to their discipline prior to conducting research. See the University's [Authorship Agreement Form template](#).
- (5) None of the following are relevant considerations for the purposes of attribution of authorship:
- (a) the position or profession of a proposed author;
 - (b) the existence of a personal relationship between the author(s) and a proposed author;
 - (c) whether or not a contribution was paid or voluntary;
 - (d) the provision of materials or equipment;
 - (e) the provision of access to study participants or data;
 - (f) the provision of routine assistance in some aspect of the project;
 - (g) the provision of, or assistance with acquisition of, funding for the project;
 - (h) general supervision of the research team; or
 - (i) having made the measurements on which the publication is based, without other intellectual input to the project or publication.
- (6) A person who qualifies as an author must not be included or excluded as an author without their permission.
- (a) Where possible, permission should be recorded in writing using the University's [Authorship Agreement Form template](#).
- (7) An author who is deceased or cannot be contacted should be included as an author on a publication provided there are no grounds to believe the person would have objected.
- (8) Where a work has several authors, the authors must appoint an executive or corresponding author who will:
- (a) take primary responsibility for ensuring that all contributors to the research output are properly recognised;
 - (b) record authorship; and
 - (c) manage communication about the work with the publisher.

- (9) All listed authors are considered collectively accountable for the whole research output.
 - (a) An individual author is directly responsible for the accuracy and integrity of their contribution to the output.
 - (b) Authors should take reasonable steps to ensure the accuracy and integrity of the contributions of all other co-authors.
 - (c) Authors should raise any concerns about the accuracy and integrity of the research before submission or publication.
- (10) Decisions regarding authorship should be made by consensus among the contributing researchers.
 - (a) Authors should alert the corresponding author to any author or contributor who may have been inadvertently omitted.
 - (b) Where researchers are unable to reach agreement on issues relating to authorship, they should consult a research integrity adviser who will provide advice regarding the options available for resolving the matters in dispute. If the matters are unable to be resolved, the researchers should refer the issues to the relevant Dean or Head of School.
- (11) All authors must approve the final version of a research output prior to publication, and the corresponding author must keep a written record of these approvals.
- (12) Researchers should:
 - (a) adhere to the authorship requirements of this policy, and follow guidelines issued by any applicable funding body or journal publisher;
 - (b) when working in collaboration with others, agree on authorship of a publication at an early stage and review their decisions periodically; and
 - (c) offer authorship to all people, including research trainees, who meet the criteria for authorship listed in sub-clause 12(3).
- (13) Contributions other than authorship must be properly acknowledged. Such contributors may include, for example, research assistants and technical writers.
- (14) If a researcher intends to publish Indigenous knowledge obtained through sources including unpublished manuscripts, or audio or video recordings, they should:
 - (a) seek approval from the people or community who were involved in the project, or from whom the knowledge originates; and
 - (b) acknowledge the individual and collective contributions as appropriate.
- (15) Where an editor of a significant collective work or anthology has responsibilities analogous to those listed in sub-clause 12(3), the criteria set out in clause 12 should be applied as far as possible to the role of editor.

13 Peer review

- (1) The University encourages participation in peer review processes, because they:
 - (a) provide expert scrutiny of a project;
 - (b) help to maintain high standards;
 - (c) encourage accurate, thorough and credible research reporting; and
 - (d) may draw attention to deviations from this and other applicable policies and requirements.

- (2) Researchers in receipt of public funding have a responsibility to participate in peer review.
- (3) Participants in peer review must:
 - (a) be fair, rigorous and timely in their review;
 - (b) respect confidentiality and, in particular, not disclose the content or outcome of any process in which they are involved;
 - (c) be informed about, and comply with, the criteria to be applied;
 - (d) familiarise themselves, and comply with, peer review policies, guidelines and expectations issued by the funding bodies and publishers for whom they are undertaking their peer review duties;
 - (e) declare all conflicts of interests and give proper consideration to whether they should take part in the review; and

Note: See also [External Interests Policy 2010](#); [ARC Conflict of Interest and Confidentiality Policy 2020](#); [NHMRC Policy on the Disclosure of Interests Requirements for Prospective and Appointed NHMRC Committee Members](#); [NHMRC Guidelines for identifying and managing conflicts of interest](#)

 - (f) give proper consideration to research that challenges or changes accepted ways of thinking.
- (4) Participants in peer review must not:
 - (a) introduce considerations that are not relevant to the review criteria;
 - (b) take advantage of information obtained during the peer review process or use such information without permission;
 - (c) agree to participate in peer review outside their area of expertise;
 - (d) permit personal prejudice to influence the peer review process;
 - (e) contact the author(s) or other reviewers unless authorised to do so;
 - (f) delegate their responsibilities or ask others to assist with a review unless authorised to do so; or
 - (g) intentionally delay the review process.
- (5) Researchers whose work is undergoing peer review must not seek to influence the process or outcomes.
- (6) Supervising researchers have a responsibility to assist research trainees in developing the necessary skills for peer review and understanding their obligation to participate.

14 Conflicts of interests

- (1) A conflict of interests will exist when there may be, or perceived to be, a divergence between the duties or interests of a person (including personal or financial interests or relationships) and their professional or research responsibilities, including but not limited to their duties to the University.
 - (a) An actual conflict arises when there is a direct or real conflict between a researcher's duties and responsibilities to the University and a competing interest or obligation.

- (b) A perceived conflict will exist where an independent observer might reasonably conclude that a person's research is, or may be, unduly influenced by other interests.
 - (c) A potential conflict arises where a researcher has an interest or obligation that has the capacity to develop a conflict with the researcher's duties or responsibilities with the University.
- (2) The University's expectations in relation to the declaration and management of external interests and conflicts of interests are set out in University policy, including in the [External Interests Policy 2010](#) and the [Higher Degree by Research Supervision Policy 2020](#).
- (a) External interests and conflicts of interests must be disclosed according to the requirements of the [External Interests Policy 2010](#) (in the case of staff and affiliates) and the [Higher Degree by Research Supervision Policy 2020](#) (in the case of staff and affiliates who are supervisors, and students).
 - (b) The obligations to disclose and manage conflicts of interests apply to perceived and potential conflicts as well as actual conflicts of interest.
- (3) The University's expectations in relation to approval and management of outside earnings activities by academics, which are additional to the requirements of the [External Interests Policy 2010](#), are set out in the [Outside Earnings of Academic Staff Policy 2011](#).
- (4) Researchers must:
- (a) familiarise themselves, and comply, with the requirements of the [External Interests Policy 2010](#) (staff and affiliates) and the [Higher Degree by Research Supervision Policy 2020](#) (staff and affiliates who are supervisors and students);
 - (b) familiarise themselves, and comply, with any other conflict of interests policies or procedures of external bodies with which they are engaged or affiliated (e.g. funders, conference sponsors, publishers);
- Note:** See [ARC Conflict of Interest and Confidentiality Policy 2020](#); [NHMRC Policy on the Disclosure of Interests Requirements for Prospective and Appointed NHMRC Committee Members](#); [NHMRC Guidelines for identifying and managing conflicts of interest](#)
- (c) maintain records of activities or interests that may lead to conflicts;
 - (d) when invited to join a committee or equivalent, review current activities and interests for actual and apparent conflicts, and bring possible conflicts to the attention of those running the process; and
 - (e) disclose any actual, potential or perceived conflict of interests as soon as it becomes apparent.
- (5) Conflict management plans relating to research matters should provide for a person with a conflict of interests to take no part in decision making processes affected by that conflict of interests. This includes being present in the room, even if silent, while the matter is debated and decided.

15 Collaborative research

- (1) Research can involve a wide range of collaborations, within the University, with other institutions including commercial organisations, domestically and internationally. Except as specifically approved by the DVC(R), the principles set out in this clause must be adhered to in all such collaborations.

- (a) Collaborative international research must comply with the [Australian Research Code](#) and other regulatory requirements.

Note: See [Guidelines to counter foreign interference in the Australian university sector](#) and the [Australia's Foreign Relations \(State and Territory Arrangements\) Act 2020](#).

- (2) Researchers should exercise judgement as to when a collaboration reaches the stage at which agreement to conduct collaborative research should be documented, and recognise the risks in delaying the development of a formal collaborative agreement.
- (3) A formal research collaboration agreement is required when at least two or more of the following criteria are met by potential collaborators:
- (a) they have decided on shared research objectives and potential methodologies to achieve such objectives;
 - (b) they are ready to document their proposed activities in a protocol or research plan and develop a budget;
 - (c) they wish to share data, materials or confidential information;
 - (d) they anticipate they may create intellectual property together.
- Note:** Contact the University's [Post-Award](#) team for assistance with collaborative research agreements.
- (4) A written agreement for a research collaboration may take a number of forms, but must be consistent with the [Research Agreements Policy 2011](#).
- (a) A research collaboration agreement must be negotiated and approved by each of the parties and signed by the authorised delegate of each institution in order to be binding.
- (5) A research collaboration agreement should address the following matters as and when required:
- (a) ownership of and dealing with intellectual property;
 - (b) confidentiality;
 - (c) responsibility for ethics and safety clearances;
 - (d) reporting requirements;
 - (e) protocols for dissemination of research outcomes;
 - (f) management of primary research materials and research data, including nominating a person from each collaborating party as responsible for this, including responsibilities for managing appropriate access and security and relevant long term retention and ongoing accessibility requirements;
 - (g) governance, including funding allocation procedures as the project evolves, where this is unable to be defined from the outset; and
 - (h) dispute resolution, including circumstances where external parties without conflicts of interests might need to be involved.
- (6) A research project leader should be appointed for each collaborating institution. Research project leaders should:
- (a) contribute to the development and monitoring of agreements,
 - (b) advise all members of the project team of the details contained in the agreement; and

- (c) involve the project team in the development and monitoring of the agreement as appropriate.
- (7) All researchers involved in a collaborative research project:
 - (a) must understand comply with research collaboration agreement
 - (b) must familiarise themselves with all policies and agreements affecting the project; and
 - (c) should review the currency of the research collaboration agreement periodically, and update if necessary.
- (8) Researchers should review the currency of the research collaboration agreement periodically, and update it if necessary.
- (9) Researchers must comply with defence export laws including:
 - (a) [*Defence Trade Controls Act 2012 \(Cth\)*](#);
 - (b) [*Defence and Strategic Goods List 2019 \(Cth\)*](#);
 - (c) [*Customs \(Prohibited Exports\) Regulations 1958*](#), Regulation 13E;
 - (d) [*Autonomous Sanctions Act 2011 \(Cth\)*](#);
 - (e) [*Charter of the United Nations Act 1945 \(Cth\)*](#);
 - (f) [*Customs Act 1901\(Cth\)*](#); and
 - (g) [*Weapons of Mass Destruction \(Prevention of Proliferation\) Act 1995*](#).
- (10) These laws may affect:
 - (a) the export of physical items and research data;
 - (b) the intangible supply of new software or technology;
 - (c) publication of new software or technology;
 - (d) organising the movement of items;
 - (e) the export of items that have a military end use;
 - (f) the export and import of goods; and
 - (g) the export of objectionable goods, human substances, chemicals, nuclear materials, radioactive sources, drugs, asbestos, explosives, or precursor substances.
- (11) Researchers must undertake appropriate due diligence inquiries into potential international research partners, informed by foreign interference risks, before commencing a collaborative research project.

Note: See [*Guidelines to counter foreign interference in the Australian university sector*](#).

16 Tissue banks and collection, storage and use of human tissue

- (1) Researchers may establish and maintain tissue holdings, i.e. they may collect, hold and use human tissue for research, consistently with the conditions of approval from an NHMRC registered ethics committee, and any applicable legislation, codes, and policies.
- (2) Researchers may collect tissue bank samples under a general HREC approval, permitting their use in projects that may not have been described or approved at the time of collection.

- (3) Researchers may undertake research using tissue bank samples only with project specific HREC approval, separate from the general approvals to establish the tissue bank and collect tissue bank samples.
- (4) Researchers may establish tissue banks only if the following conditions are met:
 - (a) the researcher's executive supervisor (or nominee) provides written approval which confirms that they are satisfied:
 - (i) with the financial and operational sustainability of the proposed tissue bank; and
 - (ii) that appropriate governance arrangements will be maintained throughout the life of the tissue bank;
 - (b) an HREC has granted approval for the tissue bank; and
 - (c) the responsible researchers provide their faculty with:
 - (i) details of the tissue bank; and
 - (ii) annual reports on its operation and financial position.

17 Notification of research subject to specific statutes and other restrictions

- (1) The lead researcher of any project must notify the Research Integrity Office in writing when there is a known or possible breach of any law relating to the conduct of that research, including but not limited to breach of any of the following:
 - (a) [*Human Tissue Act 1983 \(NSW\)*](#);
 - (b) [*Research Involving Human Embryos Act 2003 \(NSW\)*](#);
 - (c) [*Animal Research Act 1985 \(NSW\)*](#);
 - (d) [*Therapeutic Goods Act 1989 \(Cth\)*](#);
 - (e) [*Gene Technology Act 2000 \(Cth\)*](#).
- (2) A researcher who is required to hold clinical privileges or membership of a professional body for their research must notify the Research Integrity Office in writing if their privileges or membership are restricted or revoked.
- (3) Researchers must seek advice from the Chief Operating Officer of the Charles Perkins Centre before conducting stem cell research at the Charles Perkins Centre.

Note: Stem cell research is restricted in certain areas of the Charles Perkins Centre.
- (4) The lead researcher of any research activity must notify the Office of General Counsel in writing when there is a known or possible breach of any law relating to the conduct of that research, including but not limited to breach of any of the following:
 - (a) [*Defence Trade Controls Act 2012 \(Cth\)*](#);
 - (b) [*Customs \(Prohibited Exports\) Regulations 1958 \(Cth\)*](#), Regulation 13E Exportation of defence and strategic goods;
 - (c) [*Customs Act 1901 \(Cth\)*](#), Division 1AA Export of goods for a military end-use;
 - (d) [*Weapons of Mass Destruction \(Prevention of Proliferation\) Act 1995 \(Cth\)*](#);

- (e) [Autonomous Sanctions Act 2011 \(Cth\)](#);
- (f) [Charter of the United Nations Act 1945 \(Cth\)](#);
- (g) [Australia's Foreign Relations \(State and Territory Arrangements\) Act 2020](#);
- (h) [Modern Slavery Act 2018](#);
- (i) [Australia's Foreign Relations \(State and Territory Arrangements\) Act 2020 \(Cth\)](#) and
- (j) [Therapeutic Goods Act 1989](#).

PART 2 – MANAGING AND INVESTIGATING ALLEGED BREACHES

18 Relationship with other instruments and procedures

- (1) A breach of this policy by a staff member may constitute:
 - (a) misconduct or serious misconduct (as defined in the [Enterprise Agreement](#));
 - (b) a breach of the [Staff and Affiliates Code of Conduct 2021](#).
- (2) A breach of this policy by a student may constitute:
 - (a) misconduct as defined in the [University of Sydney \(Student Discipline\) Rule 2016](#);
 - (b) a breach of the [Student Charter 2020](#).
- (3) A breach of this policy by an affiliate may constitute a breach of the [Staff and Affiliates Code of Conduct 2021](#).
- (4) Allegations about breaches of this policy relating to research conducted under:
 - (a) an affiliation agreement (such as the University's agreements with Local Health Districts and Medical Research Institutes); or
 - (b) a research collaboration agreement;will be managed and investigated according to the procedures specified in the applicable agreement.
- (5) Where allegations concern breaches of this policy relating to research involving Aboriginal and Torres Strait Islander peoples, the relevant communities will be consulted where appropriate during the management of these allegations.

19 Breaches of this policy

- (1) Breaches may range from minor (less serious) to major (more serious). Major breaches may constitute research misconduct:
Note: See clause 20.
- (2) The following factors must be considered in determining the seriousness of a breach:
 - (a) the extent of the departure from approved or accepted practice;

- (b) the extent to which research participants, the wider community, animals and the environment are, or may have been, affected by the breach;
- (c) the extent to which it affects the trustworthiness of research;
- (d) the level of experience of the researcher;
- (e) whether there are previous breaches by the researcher, which have been communicated to them;
- (f) whether institutional failures have contributed to the breach;
- (g) any other mitigating or aggravating circumstances; and
- (h) such factors as may be relevant to the particular case.

20 Definition of research misconduct

- (1) Research misconduct is a serious breach of this policy which is also:
 - (a) intentional;
 - (b) reckless; or
 - (c) negligent.
- (2) Repeated or continuing breaches of this policy may also constitute research misconduct, and will do so where these have been the subject of previous counselling or specific direction.
- (3) Research misconduct does not include honest differences in judgement, and may not include honest errors that are minor or unintentional. Unintentional errors do not usually constitute research misconduct unless they result from behaviour that is reckless or negligent.

21 Roles and responsibilities

- (1) **Individuals** who have an actual, perceived, or potential conflict of interests in relation to a complaint must not be involved in the management of the matter. Where such a conflict of interests is found to exist, the individual must notify the Research Integrity Office as soon as this becomes apparent, so that a different individual may be appointed to that role.
- (2) **Designated officers** are responsible for receiving complaints relating to the conduct of research, and overseeing their management and investigation where required.
- (3) **Investigation panels** conduct investigations of alleged breaches of this policy as provided in clause 28 and report their findings to the designated officer. A panel may be constituted by one or more individuals.
- (4) The **responsible executive officer**:
 - (a) receives reports of the outcomes of investigations under clause 28;
 - (b) determines whether a breach of the policy has occurred;
 - (c) determines what (if any) further action is required; and
 - (d) informs relevant parties.
- (5) A **review officer** receives requests for procedural reviews of the management of complaints about breaches of this policy.

- (6) **Research integrity advisers** will be appointed to provide advice to staff, students, and affiliates on issues relating to research practice and possible research misconduct or other breaches of this policy. They:
- (a) must be familiar with this policy and other relevant policies, procedures and codes of conduct for research;
 - (b) should be impartial and provide unbiased advice
 - (c) should maintain confidentiality and not disclose details of issues discussed unless required by processes under institutional policies and or the [Australian Research Code](#)
 - (d) should explain the options open to a person considering making, or having made, an allegation, including:
 - (i) referring the allegation directly to the person against whom it is made;
 - (ii) not proceeding with, or withdrawing, the allegation if discussion resolves the concerns;
 - (iii) referring the allegation to a person in a supervisory capacity for resolution at the local or departmental level (not applicable in the case of major breaches, including those relating to statutory requirements); or
 - (iv) making a written allegation to the Research Integrity Office under clause 22 of this policy.
- (7) **Staff, students and affiliates** are encouraged to raise any concerns they may have about the conduct of research with a relevant research integrity adviser, Head of Department, supervisor or chair of the relevant faculty research committee or other appropriate staff member before making an allegation.

22 Receipt of allegations

- (1) Allegations of breaches of this policy should be made to the Research Integrity Office, and if received elsewhere the Research Integrity Office must be notified.
- (2) The Research Integrity Office will gather any necessary further information and then refer the allegations to the designated officer, who will decide whether:
 - (a) they have substance; and
 - (b) could, if proven, amount to a breach of this policy.
- (3) Less serious allegations may be managed and resolved by the faculty or school of the individual who is the subject of the allegations. The designated officer may refer allegations concerning less serious matters to the relevant faculty or school for resolution.
- (4) Allegations must be handled carefully and all interested parties protected as far as possible. Interested parties may include:
 - (a) the person making the allegation;
 - (b) the person against whom the allegation is made;
 - (c) participants in human-based research whose interests may be affected;
 - (d) research students, trainees and staff working with the person concerned;
 - (e) journals in which allegedly compromised papers have been or may be about to be published;

- (f) funding bodies, where the project or researcher has received funding from that body or where the researcher has a proposal under review by that funding body; and
 - (g) in some cases, the public.
- (5) Allegations must be made honestly and reasonably. Failure to do so may constitute a breach of the following policies, and may also constitute misconduct:
 - (a) [Staff and Affiliates Code of Conduct 2021](#);
 - (b) [Student Charter 2020](#).
- (6) Allegations should preferably be made in writing.
- (7) At this or at any later appropriate stage, the designated officer may take any interim administrative action reasonably necessary to protect any of the following:
 - (a) human safety;
 - (b) animal welfare;
 - (c) funds provided by external funding bodies; and
 - (d) material which might be relevant to any investigation.
- (8) Relevant delegates may also take such interim action as they consider necessary including, without limitation:
 - (a) suspending a staff member or affiliate from duty generally;
 - (b) suspending a staff member or affiliate from specific duties such as:
 - (i) carrying out particular research;
 - (ii) supervising research students; or
 - (c) issuing directions about:
 - (i) submitting grant applications; or
 - (ii) papers for publication; or
 - (iii) suspending students.

23 Summary dismissal

- (1) The designated officer may summarily dismiss an allegation if satisfied that:
 - (a) it lacks substance; or
 - (b) could not, even if proven, amount to a breach of this policy.

24 Preliminary assessment

- (1) The purpose of the preliminary assessment is to:
 - (a) gather and evaluate facts and information about an allegation; and
 - (b) assess whether, if proven, it would constitute a breach of this policy.
- (2) The preliminary assessment must be conducted as expeditiously as possible.
- (3) As far as possible, all affected persons will be afforded confidentiality.
- (4) The preliminary assessment may include:

- (a) interviewing the people involved;
 - (b) inspecting research facilities or records;
 - (c) examining relevant documents;
 - (d) obtaining appropriate expertise from within or outside the University.
- (5) At the conclusion of the preliminary assessment, a written report will be prepared setting out recommendations for further action.
- (6) The designated officer may:
- (a) dismiss the allegation(s);
 - (b) arrange for the matter to be resolved locally with or without corrective actions, for example, by the relevant faculty, or by an ethics committee;
 - (c) initiate an investigation; or
 - (d) refer the matter elsewhere in the University (for example, Internal Audit, Office of General Counsel, Human Resources or the Privacy Officer) to be dealt with under other relevant provisions.
- (7) Where appropriate, the designated officer will take appropriate interim administrative action to protect funds granted by external funding bodies.
- (8) The designated officer will determine if other individuals or organisations need to be informed. Relevant considerations in this determination include, but are not limited to:
- (a) whether the full set of allegations were put to the relevant parties and sufficient time to reply was provided;
 - (b) the degree of confidentiality which has been or can be achieved;
 - (c) obligations to report to external bodies, including reporting requirements under funding agreements and the policies of funding bodies;
- Note:** See also the [ARC Research Integrity Policy](#) and [NHMRC Research integrity and misconduct policy](#).
- (d) reporting obligations under any affiliation or research collaboration agreement;
 - (e) the reputations of those against whom allegations are made but not proved; and
 - (f) the need to protect the interests of those who have made allegations in good faith.

25 Action after preliminary assessment – complaint about student

- (1) A designated officer who concludes that an allegation about a student has substance but does not warrant an investigation will refer the matter back to the relevant representative of the faculty in which the individual is studying, with recommendations for action (including no further action, if appropriate).
- (2) A designated officer who concludes that an allegation about a student has substance and warrants investigation will refer the matter to the Registrar in accordance with the [University of Sydney \(Student Discipline\) Rule 2016](#).

26 Action after preliminary assessment – complaint about staff member

- (1) A designated officer who concludes that an allegation about a staff member has substance but does not warrant an investigation will refer the matter back to the relevant representative of the faculty of the individual against whom allegations have been made for such action (including no further action) as the designated officer considers appropriate.
- (2) A designated officer who concludes that an allegation about a staff member has substance and warrants investigation will initiate an investigation in accordance with clause 28.

27 Action after preliminary assessment – complaint about affiliate

- (1) A designated officer who concludes that an allegation about an affiliate has substance but does not warrant an investigation will refer the matter to the relevant representative of the faculty of the individual against whom allegations have been made for such action (including no further action) as the designated officer considers appropriate, consistently with the terms of any applicable affiliation agreement.
- (2) A designated officer who concludes that an allegation about an affiliate has substance and warrants an investigation will initiate an investigation in accordance with:
 - (a) clause 28; and
 - (b) the terms of any applicable affiliation agreement.

28 Investigation

- (1) If the designated officer concludes that an allegation warrants investigation, they will:
 - (a) prepare a statement of the allegations to be investigated;
 - (b) develop the terms of reference for the investigation;
 - (c) appoint an investigator or investigation panel to conduct the investigation;
 - (d) determine the membership and chair of any investigation panel, including the number of members; and whether they will be internal or external appointees.
- (2) The investigator or investigation panel:
 - (a) should be from outside the relevant academic unit;
 - (b) may be from outside the University, but should have relevant experience and expertise;
 - (c) may obtain appropriate expertise from within or outside the University to assist in the investigation; and
 - (d) will conduct the investigation as expeditiously as possible.
- (3) The Research Integrity Office and relevant Dean may take appropriate interim administrative action to protect funds granted by external funding bodies.

- (4) In addition to any action taken under subclause 24(8), the designated officer will determine if other individuals or organisations need to be informed at this point. Relevant considerations in this determination include, but are not limited to:
 - (a) whether the full set of allegations were put to the relevant parties and sufficient time to reply was provided;
 - (b) the degree of confidentiality which has been achieved;
 - (c) reporting obligations to external bodies, including reporting requirements under funding agreements and the policies of funding bodies;

Note: See also the [ARC Research Integrity Policy](#) and [NHMRC Research integrity and misconduct policy](#).

 - (d) reporting obligations under any affiliation or research collaboration agreement;
 - (e) the reputations of those against whom allegations are made but not proved;
 - (f) the need to protect the interests of those who have made allegations in good faith.
- (5) The investigator or investigation panel will submit a final report to the designated officer as expeditiously as possible. The designated officer may then make recommendations to the responsible executive officer.

29 Action on completion of investigation

- (1) If a staff member is found by the responsible executive officer to have breached this policy or engaged in research misconduct, the University will rely on the responsible executive officer's decision for the purposes of:
 - (a) taking disciplinary action as provided for in any applicable contract of employment and the [Enterprise Agreement](#); and
 - (b) taking commensurate action (such as termination of an honorary appointment) in the case of matters involving affiliates.
- (2) The responsible executive officer will inform relevant parties of the investigation findings and the actions taken by the University. Relevant parties may include:
 - (a) the complainant;
 - (b) affected researchers;
 - (c) participants in human-based research whose interests may be affected;
 - (d) research collaborators, including those at other institutions;
 - (e) funding organisations;
 - (f) journal editors; and
 - (g) professional registration bodies.
- (3) The responsible executive officer may also take such other action as may be reasonably necessary having regard to the findings and any other relevant circumstances. Appropriate action may include:
 - (a) recommendations requiring the correction of the public record, including publications, if breaches have affected research findings and their dissemination;

- (b) where allegations are not substantiated, action to assist in restoring the reputation of the individual against whom allegations have been made;
- (c) action or recommendations to address any systemic issues identified in the investigation process.

Note: See clauses 14 and 15 of the [Resolution of Complaints Policy 2015](#), in relation to confidentiality and disclosure of information.

30 Review of decisions

- (1) An individual who is directly affected by a decision made by a designated officer or the responsible executive officer may seek a review of the decision.
- (2) Applications for review may be made only on grounds that the applicant was not afforded procedural fairness.
- (3) Applications must be made in writing to the Research Integrity Office within 14 days of being notified of the decision to which the application relates.
- (4) The Research Integrity Office will forward each application for review to the review officer together with a copy of the report and any other relevant documentation within seven days of receipt.
- (5) The individual requesting a review will be informed in writing of the outcome of the review.

31 Transitional provisions

- (1) Subject to clause 31(2), all allegations received by the University before the commencement date of this policy will be dealt with in accordance with the Part 2 of the *Research Code of Conduct 2019* (the *2019 Code*).
- (2) Where an allegation relates to conduct that is alleged to have occurred before 1 July 2019 (i.e. the date the 2019 code commenced)
 - (a) Any reference in Part 2 of the *2019 Code* to a policy breach will be taken to mean a breach of the *Research Code of Conduct 2013* (the *2013 Code*); and
 - (b) Any reference in Part 2 of the *2019 Code* to research misconduct will be taken to mean research misconduct as defined in the *2013 Code*.
- (3) All allegations received on or after the commencement date of this policy that relate to conduct that is alleged to have occurred before that date will be dealt with in accordance with the Part 2 of this Policy (i.e. clauses 18 to 30), subject to the following:
 - (a) Where the conduct is alleged to have occurred on or after 1 July 2019:
 - (i) Any reference in Part 2 of this policy to a policy breach will be taken to mean a breach of the *2019 Code*; and
 - (ii) Any reference in Part 2 of this policy to research misconduct will be taken to mean research misconduct as defined in the *2019 Code*.
 - (b) Where an alleged breach relates to conduct that is alleged to have occurred before 1 July 2019:
 - (i) Any reference to Part 2 of this policy to a policy breach will be taken to mean a breach of the *2013 Code*; and

- (ii) Any reference in Part 2 of this policy to research misconduct will be taken to mean research misconduct as defined in the 2013 Code.

32 Rescissions and replacements

This policy replaces the *Research Code of Conduct 2019* which is rescinded as from the date of commencement of this policy.

NOTES

Research Code of Conduct 2023

Date adopted: 26 July 2023
Date commenced: 1 September 2023
Policy owner: Deputy Vice-Chancellor (Research)
Review date: 1 September 2028
Rescinded documents: Research Code of Conduct 2019
Related documents:

Animal Research Act 1985 (NSW)

Animal Research Regulation 2010 (NSW)

Australia's Foreign Relations Regulation (State and Territory Arrangements) Act 2020 (Cth)

Customs Act 1901 (Cth)

Defence Trade Controls Act 2012 (Cth)

Privacy Act 1988 (Cth)

Government Information (Public Access) Act 2009 (NSW)

Health Records and Information Privacy Act 2002 (NSW)

Human Tissue Act 1983 (NSW)

Privacy and Personal Information Protection Act 1998 (NSW)

Research Involving Human Embryos Act 2003 (NSW)

State Records Act 1998 (NSW)

Therapeutic Goods Act 1989 (Cth)

Weapons of Mass Destruction (Prevention of Proliferation) Act 1995 (Cth)



Academic Integrity Policy 2022

Charter of Freedom of Speech and Academic Freedom

External Interests Policy 2010

Higher Degree by Research Supervision Policy 2020

Intellectual Property Policy 2016

Public Comment Policy

Privacy Policy 2017

Recordkeeping Policy 2017

Reporting Wrongdoing Policy 2012

Research Agreements Policy 2011

Staff and Affiliates Code of Conduct 2021

Student Charter 2020

Student Sexual Misconduct Policy 2018

University of Sydney (Delegations of Authority) Rule 2020

University of Sydney Enterprise Agreement 2018-2021

University of Sydney (Policies Development and Review Rule) 2011

University of Sydney (Student Academic Appeals) Rule 2021

University of Sydney (Student Discipline) Rule 2016

Working with Children and Vulnerable Adults Policy 2021

Working with Children Procedures – Staff and Affiliates 2021

Working with Children Procedures – Students 2021

AIATSIS Code of Ethics for Aboriginal and Torres Strait Islander Research

ARC Conflict of Interest and Confidentiality Policy 2020

Ask First: A Guide to Respecting Indigenous Heritage Places and Values

Excellence in Research Australia 2018 Submission Guidelines (Australian Research Council)

Higher Education Research Data Collection Specifications for the Collection of 2010 Data (Department of Innovation, Industry, Science and Research)

Higher Education Standards Framework 2015 (Tertiary Education Quality and Standards Agency)

Keeping Research on Track: A Guide for Aboriginal and Torres Strait Islander Peoples About Health Research Ethics

National Statement on Ethical Conduct in Human Research

NHMRC Australian Code of Practice for the Care and Use of Animals for Scientific Purposes

NHMRC Guidelines for identifying and managing conflicts of interest

NHMRC Policy on the Disclosure of Interests Requirements for Prospective and Appointed NHMRC Committee Members

NHMRC Safety monitoring and reporting in clinical trials involving therapeutic goods

NHMRC Statement on Consumer and Community Involvement in Health and Medical Research

Universities Australia/ARC/NHMRC Australian Code for the Responsible Conduct of Research and its associated Best Practice Guides

Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research (NHMRC 2003)

AMENDMENT HISTORY

Provision	Amendment	Commencing
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