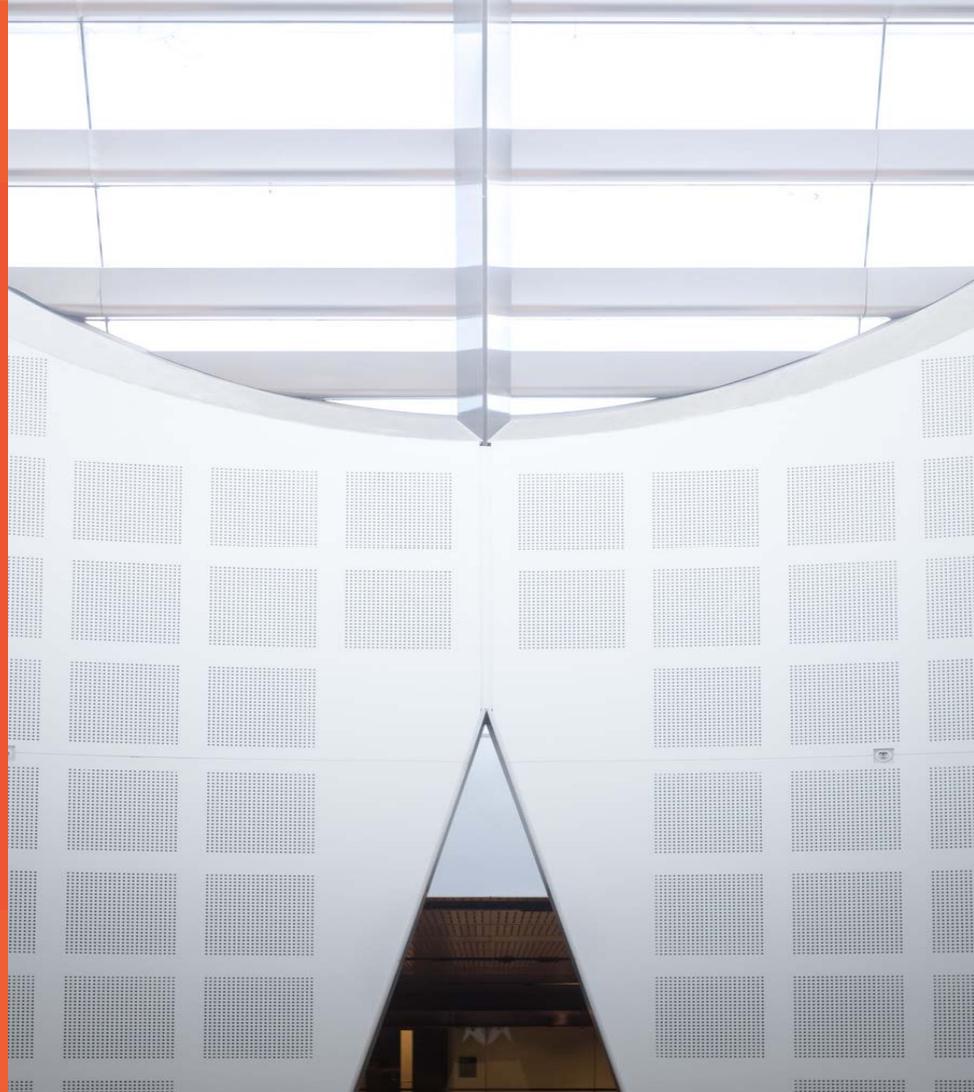


Benchmarking research related complaints in Australia - an exercise to increase transparency and build public trust

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What is the Research Integrity Benchmarking Report?

Participating universities attract over two-thirds of Australian Commonwealth competitive research funding and spent over \$6 billion per year on research.



Acknowledgement : the Research Integrity Offices at each of the participating universities invested considerable resources in contributing data and contributing to analysis.

How big is Australia compared to other countries for academic research?

Summary of 2011 Expenditure on R&D in tertiary institutions

Country	Population (millions)	Land size	Expenditure on R&D at tertiary institutions as a % of GDP ¹	Expenditure on R&D in tertiary institutions in USD billions ²	Number of Universities ³
Australia	22.8	7.7M km ²	0.61%	5.7	41
US	312	9.8M km ²	0.30%	46.6	164
UK	62.7	0.24M km ²	0.31%	7.2	?

1. Source: OECD 2014, Education at a Glance, Table B2.4

2. Values calculated using 2011 GDP figures from ICP, <http://icp.worldbank.org>

3. www.universitiesaustralia.edu.au www.universitiesuk.ac.uk

Why benchmark?

- To increase transparency about our management of research related complaints. Previously available data included;
 - Occasional cases with media coverage
 - Reporting from funding agencies on proportion of matters
- To build confidence in the complaint management process
 - A high proportion of the matters we manage are managed efficiently and outcomes are accepted by complainants and respondents
- To identify common issues impacting researchers and institutes and work together to improve their management

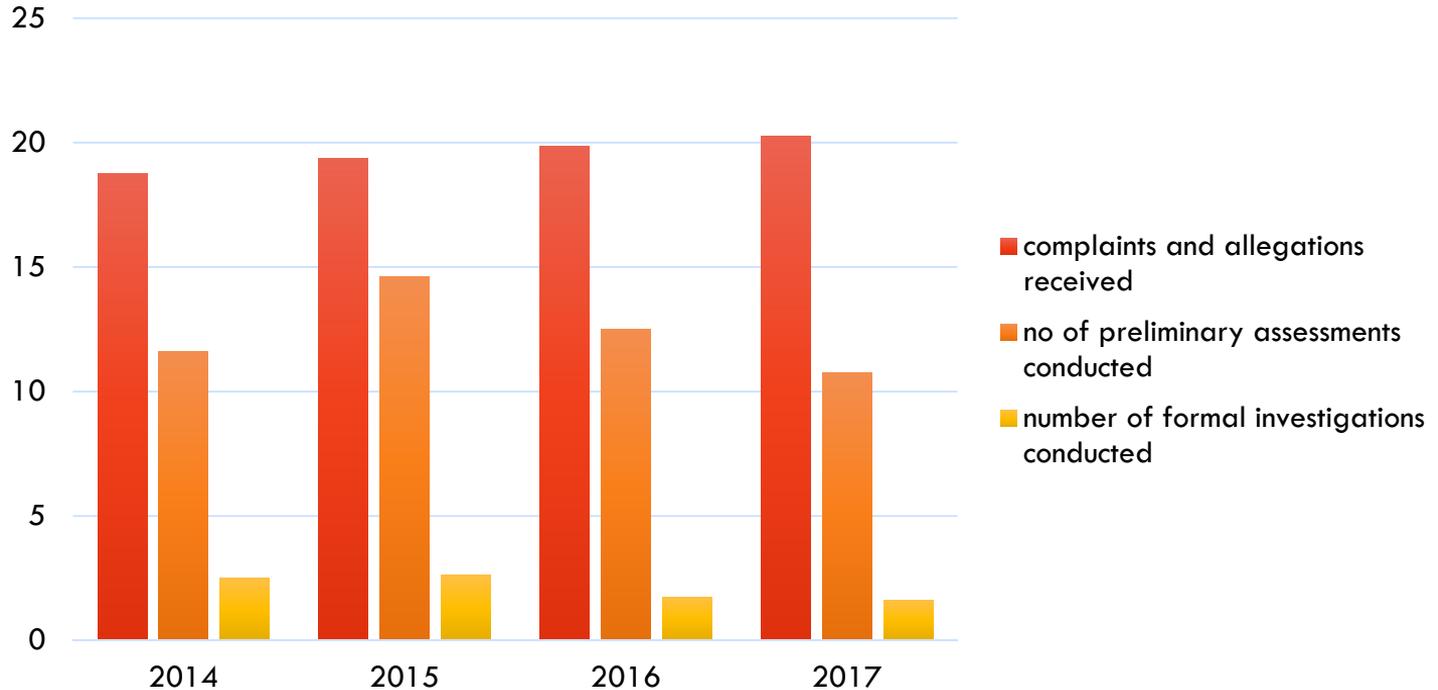
Number of complaints received and managed

Summary of Research Integrity matters managed by participating universities from 2014-17

	Total	Median	Range	Interquartile range	% of total complaints
Complaints and allegations received	626	64.5	23 - 166	74	--
No. of preliminary assessments conducted	396	26.5	13 - 147	41.25	64.4%
No. of formal investigations conducted	68	8	2 - 18	7.5	10.76%

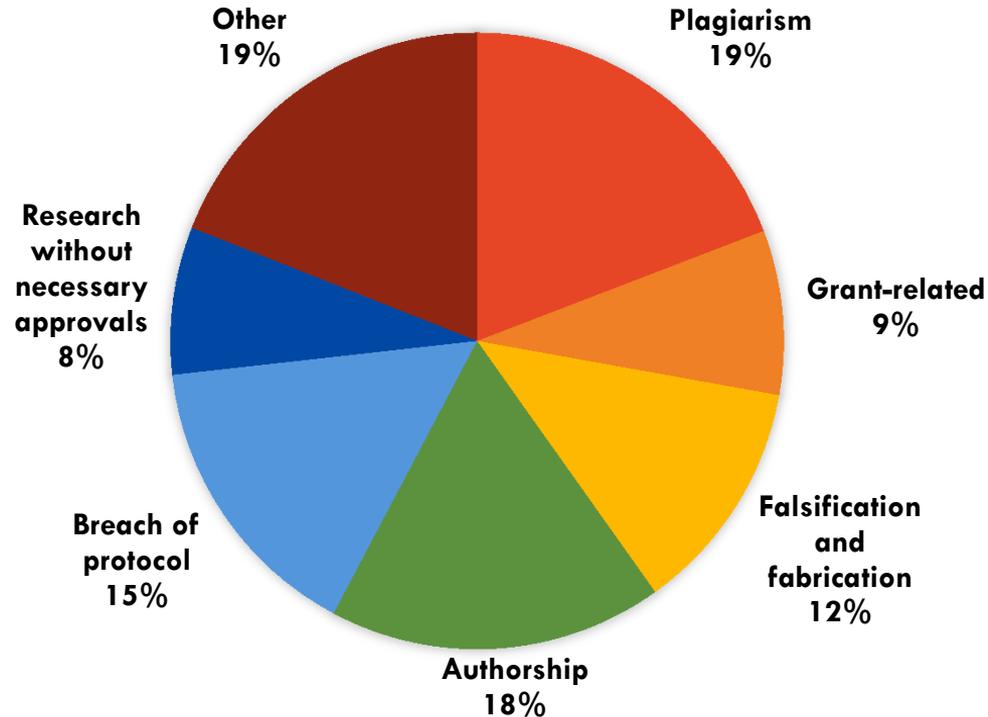
Number of complaints received and managed

Average number of RI complaints managed by year per institution



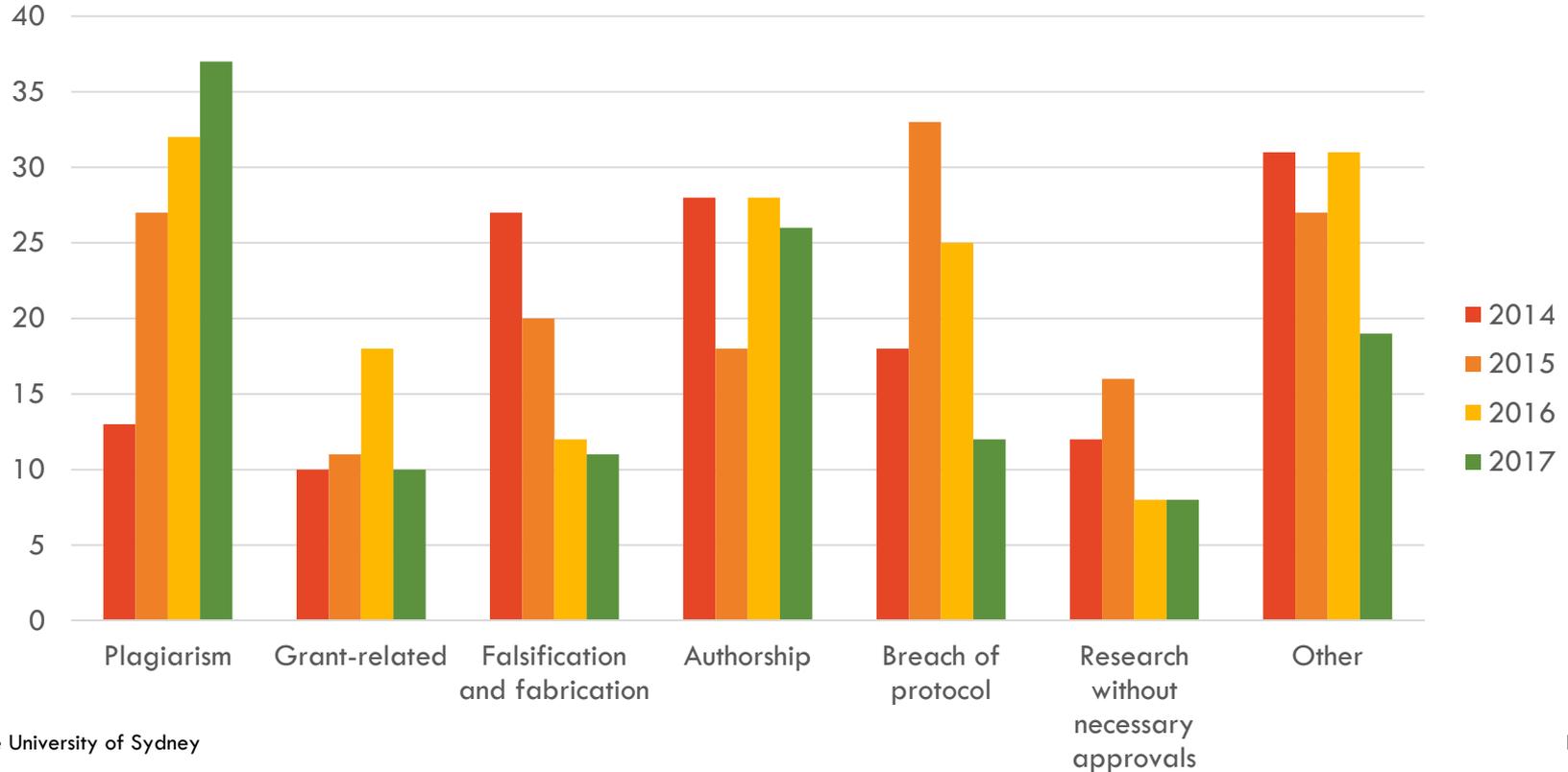
Categories of issues

Category of issues managed by RI offices, 2014-2017

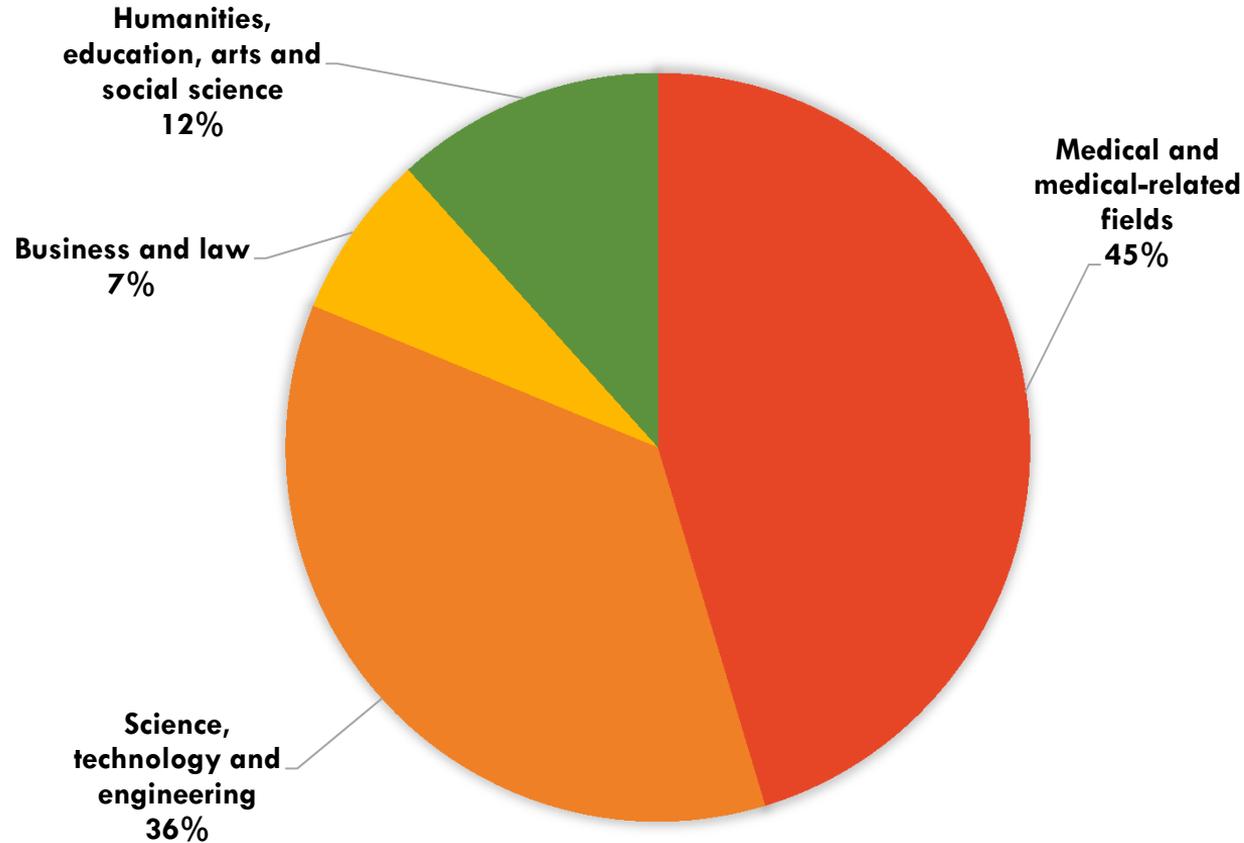


Categories of complaints

Yearly number of complaints by category (2014-2017)



Complaints by discipline



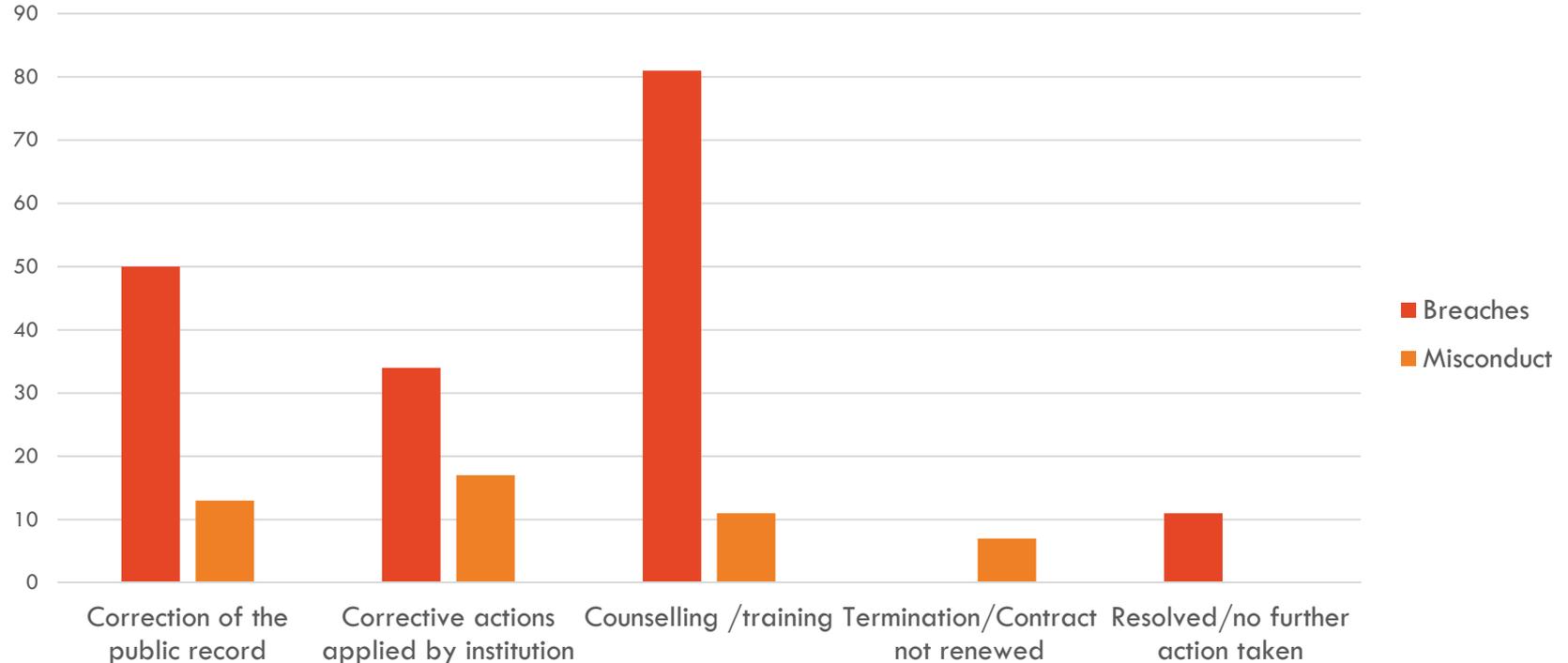
Outcomes

Summary of complaint outcomes at participating universities for 2014-2017

Findings	Total	Median	Range	Interquartile range	% of total complaints
Breaches (or sub-optimal research practices that were found not to be research misconduct)	145	18.5	3-32	18.75	23.16%
Research misconduct	41	4.0	2-12	2.25	6.55%
NHMRC/ARC Sanctions	11	1.5	0-3	2.25	1.76%

Summary of Actions

Types of response to findings of breaches and research misconduct (2014-2017)



Limitations of the data

- Differences in culture and process
- Training/awareness of researchers
- Activities of Research Integrity Advisers
- Changes to practices during the reporting period

International benchmarking?

Limitations due to:

- Variations in policy
- Variations in reporting frameworks
- Limited data available



Challenges are explained in more detail here:

<https://protect-au.mimecast.com/s/RJ-xC4QZ1RFm7M1GCxWGfV?domain=natureindex.com>

Conclusions

- No evidence to suggest that numbers of complaints are increasing
- The number of complaints received appears to be proportional to research effort
- More consistency for findings of research misconduct than for breaches