Research Integrity



Guideline

Approval Date 19 November 2020

Assessment Date 16 September 2023

Administrators AD Research Operations

Academic Secretary

# Intent

#### The intention of the Research Integrity Guideline (this Guideline) is to support the Research Integrity Policy.

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#### This Guideline is to be read in conjunction with the following —

##### Research Integrity Policy.

# Authorship, Publication and Dissemination of Research

#### The right to authorship is not tied to position or profession and does not depend on whether the contribution was paid for or voluntary.

#### Participation solely in the acquisition of funding or the collection of data does not justify authorship. General supervision of the research group is not sufficient for authorship.

#### It is not enough to have provided materials or routine technical support, or to have made the measurements on which the publication is based. Substantial intellectual involvement is required.

#### An individual who qualifies as an author is not be included or excluded as an author without their permission. This should be in writing, and include a brief description of their contribution to the work.

#### Any part of an article critical to its main conclusion is to be the responsibility of at least one author. An author's role in a research output is to be sufficient for that individual to take responsibility for at least that part of the output in that individual's area of expertise.

#### Research students can be authors. They own the copyright of their thesis, in accordance with Sub-Regulation 4 (2) of the UWA Intellectual Property Regulations.

#### Authorship of a research output is a matter that should be discussed between researchers at an early stage in a research project, and reviewed whenever there are changes in participation. If there are conflicts arising through disputes about authorship, the researchers should work with their head of school or with a research integrity advisor to mediate a solution. If a resolution cannot be found the Deputy Vice-Chancellor (Research) (DVC (R)) is to be notified. The DVC (R) shall determine the appropriate course of action.

#### When there is more than one author of a research output, one co-author (by agreement amongst the authors) is to be nominated as executive author for the whole research output, and is to take responsibility for record-keeping regarding the research output.

#### Where the research is published, including electronically, one author is to be given principal status with the responsibility for signing a Statement of Authorship Form

<http://www.research.uwa.edu.au/staff/research-policy/?a=554227>

#### ensuring that all co-authors are in agreement with their inclusion and that no individual entitled to has been excluded.

#### Authors of web-based publications are to take responsibility for the publication's content and should be clearly identified in the publication.

#### The authors are to ensure that others who have contributed to the work are recognised in the research output. Courtesy demands that individuals and organisations providing facilities are also acknowledged.

#### The University necessitates that Authorship requires substantial contributions to a research output in a combination of —

##### conception and design of the project;

##### acquisition of Research data where the acquisition has required significant intellectual judgement, planning, design, or input;

##### contribution of knowledge, where justified, including Indigenous knowledge;

##### analysis and interpretation of research data; and

##### drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

# Research Data

#### UWA Institutional Research Data Store (IRDS) provides researchers with a centralised, secure and UWA-supported data storage facility in which to store electronic research data, enabling ongoing access to these valuable assets at no cost to researchers and in a broad range of file types. Further information on the IRDS is available at <http://www.it.uwa.edu.au/service-catalogue/data-storage/irds>.

#### External collaborator access to your IRDS Store can now be achieved by asking your external collaborators to complete a Human Resources form —

#### <http://www.hr.uwa.edu.au/__data/assets/pdf_file/0006/2172606/Commencement_of_Non-university_Staff.pdf>

#### Individual researchers are able to hold copies of their research data for their own use. However, retention solely by the individual researcher provides little protection to the researcher or the University in the event of an allegation of falsification of data and it is not a reliable way to protect the data from loss or inappropriate access.

#### Research data related to publications is to be made available for discussion with other researchers where confidentiality restrictions do not apply. Researchers are able to publish their research data (or link to it if published elsewhere) in the UWA Profiles and Research Repository at no cost (further information is available at https://www.uwa.edu.au/library/help-and-support/support-for-UWA-researchers/uwa-profiles-and-research-repository-support-and-faqs). Creative Commons licenses are the preferred licenses to be used for Open Access. CC-BY is used wherever possible for sharing research data.

#### Open Access policies for the Australian Research Council and National Health and Medical Research Council can be found at —

#### <http://www.arc.gov.au/arc-open-access-policy> and

<https://www.nhmrc.gov.au/grants-funding/policy/nhmrc-open-access-policy>

#### It is the obligation of the researcher to enquire whether confidentiality agreements apply, and of the Head of School or the research centre to inform researchers of their obligations with respect to these provisions.

#### Security and confidentiality is to be assured in a way that copes with multiple researchers and the departure of individual researchers.

#### A [Confidentiality Agreement (evaluation purposes) form] to protect intellectual property rights belonging to the University or to pass on obligations of confidence to others in relation to confidential information received by the University can be found at —

#### <http://www.research.uwa.edu.au/staff/forms/funding>

# Conflicts of Interest in Research

#### Conflicts of Interest may arise if an organisation or entity with a direct interest in the subject matter provides direct benefits to the researchers such as sponsorship of the investigation, or indirect benefits such as the provision of materials or facilities or the support of individuals such as provision of travel or accommodation expenses to attend conferences.

#### Other examples of Conflicts of Interest include where a researcher (or their spouse or dependent) has a financial interest (equity, directorship, consultant) in the funding agency or in an agency being paid from the grant funds, or where the terms of a new grant from a funding agency require disclosure of project data from a related project and the terms of the related project grant prevent that disclosure.

#### When Conflicts of Interest arise at the time of reporting or proposing research, and the Conflicts of Interest has the potential to influence research and investigations, publication and media reports, grant applications, and applications for appointment and promotion, the researcher are to disclose the details to Human Resources who will decide whether a Conflicts of Interest exists and, if so, what further action should be taken.

#### The action taken by the DVC(R) in the case that the Conflicts of Interest is identified will include consultation with the researcher and may also involve consultation with the funding agency or other parties to ensure that the Conflicts of Interest does not compromise the research, or the University's interests.

#### In some circumstances, it may be necessary to reject or terminate a research project, or to disclose the Conflicts of Interest to the editors of journals or the readers of published work arising from the research.

## Research Computing System Safety

#### Four principles should guide the security practices and guidelines for research computing systems: safety, confidentiality, integrity and availability.

### Safety

#### **Safety** is the principle of “do no harm.” Safety is important because it defines what imposed security measures are seeking to prevent. Although a compromise might not directly impinge on research itself, it might lead to abuse of resources to attack others. Since the speculative and unpolished nature of research systems makes breaches more likely, research system safety often involves taking extra measures to reduce, detect, and ameliorate compromises.

### Confidentiality

#### Confidentiality is the property that information is not made available or disclosed to unauthorized individuals, entities, or processes. Confidentiality is important not only for raw research data, but also notes and metadata. Insufficiently protecting confidentiality can jeopardize the work and privacy of others. Controlling and auditing access is fundamental to confidentiality.

### Integrity

#### Integrity means maintaining and assuring the accuracy and completeness of data over its entire life cycle. Integrity is important because if data is compromised or deleted, it can corrupt the scientific method and the validity of research results. Research systems should have procedures to maintain the integrity of the data they store and to detect modification.

### Availability

#### Availability means that the system and its data can be used and accessed by authorized users when needed. Availability is important because without it, the systems cannot be used in research: systems that become inaccessible, need to be rebooted, reinstalled, or taken off the network are all examples of reduced availability.

# Collaborative Research Across Institutions

#### Where the University is involved in a joint research project, including overseas, an agreement is to be reached in writing with the collaborating organisations detailing issues to do with intellectual property, confidentiality and copyright, sharing commercial returns, responsibility for ethics and safety clearances, and reporting to appropriate agencies.

#### Effective research data management ensures the responsible conduct of research. Best practices in research data management enhance research integrity and promote collaborative opportunities, and should be aligned to the FAIR Principles as expressed in section 8 of the Research Integrity Policy.

#### A Research Data Management Plan —

#### <https://guides.library.uwa.edu.au/RDMtoolkit/planning>

#### ensures data security, accessibility and validation of results. For further assistance with research data management, please refer to the Research Data Management Toolkit —

#### <https://guides.library.uwa.edu.au/RDMtoolkit>

#### The collaborating parties are to identify the individual to be involved in the management of research data, primary materials and other items to be retained at the end of the project.

#### When a collaboration is international and involves military or dual use technology, even when for non-military aims, it may be necessary to obtain a Defence Trade Controls permit from the Commonwealth Department of Defence. Questions and support for this is available from the Office of Research.

## Clinical Trials

#### Researchers responsible for leading clinical trials are to adhere to regulations relevant to clinical trials in particular that trials will be notified to the regulatory bodies as required.

#### A clinical trial research team may nominate the University as “Sponsor”, as defined by the Guideline for Good Clinical Practice, described at the [Therepeutic Goods Administration website](https://www.tga.gov.au/publication/note-guidance-good-clinical-practice). However, the University must give permission to be nominated in advance of commencing the trial. Support for obtaining permission to identify the University as a clinical trial sponsor can be requested from the Office of Research

#### The University supports staff to conduct clinical trials via research support services listed at —

#### <http://www.research.uwa.edu.au/staff/clinical-trials>

# Breaches

#### The Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research, 2018 (the Investigation Guide) forms a critical part of Australia’s framework for research integrity, established by the Australian Code for the Responsible Conduct of Research, 2018 (the 2018 Code).

#### The Investigation Guide assists the University to manage, investigate and resolve complaints about potential breaches of the 2018 Code by outlining a preferred model that can be implemented by institutions engaged in research, regardless of the size or type.

#### Developed jointly by the National Health and Medical Research Council, the Australian Research Council and Universities Australia, the Investigation Guide has broad applicability across all research disciplines.

#### The Investigation Guide should be read alongside the Research Code —

#### <https://nhmrc.gov.au/about-us/publications/guide-managing-and-investigating-potential-breaches-code>

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