

Research Integrity Policy



THE UNIVERSITY OF
WESTERN
AUSTRALIA

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1 Purpose

(A). The purpose of this **Policy** is to —

- (1). promote the adoption of the principles and practices of the Australian Code for the Responsible Conduct of Research (Research Code);
- (2). express the responsible conduct of **Research**;
- (3). recognise our social responsibility in Research practices; and
- (4). contribute to the **University** culture of Integrity.

(B). In this Policy —

1	Purpose	1
2	Scope	3
2.1	Institutional Scope	3
2.2	Individual Scope	3
3	Research Integrity	3
3.1	Acknowledgement	4
3.2	Intellectual Freedom in Research	4

3.3	Professional Responsibility in Research	4
3.4	Discrimination in Research.....	4
4	Research Compliance	4
5	Conflicts of Interest in Research.....	5
6	Responsible Conduct of Research	5
7	Research Integrity Advisors (RIAs)	6
8	Management of Research Data, Records and Primary Materials.....	6
9	Authorship.....	7
10	Publication and Dissemination of Research.....	9
11	Peer Review	11
12	Collaborative Research Across Institutions.....	11
13	Clinical Trials	11
14	Recognition and Social Responsibility in Research	12
15	Regulatory Compliance.....	12
16	Training and Development.....	13
17	Breaches of the Research Code and Research Misconduct.....	13
18	Research Equipment and Facilities.....	14
19	Research Funds	14
20	Research Appointments.....	14
21	Research Fieldwork	14

(C). This Policy is to be read in conjunction with the following —

- (1). Research Integrity Policy Guideline;
- (2). Research Integrity Advisors Guideline;
- (3). Autonomous Sanctions Guideline;
- (4). Defence Trade Control Guideline;
- (5). Authorship and Disputes Procedure;
- (6). Academic Employees Agreement 2017;
- (7). Australian Council of Graduate Research Conflict of Interest in Examinations Guidelines;
- (8). NHMRC and Universities Australia: Australian Code for the Responsible Conduct of Research 2018;
- (9). NHMRC and Universities Australia: A Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research, 2018;
- (10). NHMRC and Universities Australia: Authorship - a guide supporting the Australian Code for the Responsible Conduct of Research;

- (11). NHMRC and Universities Australia: Management of Data and Information in Research - a guide supporting the Australian Code for the Responsible Conduct of Research;
- (12). NHMRC and Universities Australia: Peer Review - a guide supporting the Australian Code for the Responsible Conduct of Research;
- (13). NHMRC and Universities Australia: Disclosure of Interests and Management of Conflict of Interest - a guide supporting the Australian Code for the Responsible Conduct of Research;
- (14). NHMRC and Universities Australia: Supervision - a guide supporting the Australian Code for the Responsible Conduct of Research; and
- (15). NHMRC and Universities Australia: Collaborative Research - a guide supporting the Australian Code for the Responsible Conduct of Research.

2 Scope

2.1 Institutional Scope

- (A). The scope of this Policy applies to the entire University.

2.2 Individual Scope

- (A). The scope of this Policy applies to **Researchers**.

3 Research Integrity

- (A). Research means (as defined in the Australian Code for the Responsible Conduct of Research 2018 (ACRCR)) the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies, inventions and understandings; this may include synthesis and analysis of previous Research to the extent that it is new and creative.
- (B). **Research Integrity** means Research which is designed, conducted and reported in accordance with the ACRCR.
- (C). Researcher means **Academic Employees, Research Adjunct Employees, Research Students, Honorary Research Fellows** and **Visiting Appointments** engaged in Research.
- (D). Research Student means an individual including Honours, Masters and Doctoral Students and early career postdoctoral staff who has a Research component to their study.
- (E). Research Adjunct Employee means an individual appointed to an adjunct or clinical position for recognised academic achievement, or professional or career achievements in industry or the community, that are of relevance to the work of the University.

- (F). Honorary Research Fellow appointment is defined in the University Policy on Honorary Appointments.
- (G). Visiting Appointment is defined in the University Policy on Visiting Appointments.

3.1 Acknowledgement

- (A). Researchers engaged in fieldwork must behave in a manner that upholds and enhances the good reputation of the University, both in relation to the land in which they are conducting fieldwork and in their interactions with external parties.
- (B). Researchers engaged in fieldwork must acknowledge the Indigenous owners of the land on which they work and ensure an appropriate level of Indigenous consultation and engagement.

3.2 Intellectual Freedom in Research

- (A). Researchers will be free to select their own topics for Research, to seek support from any source for their work, and to formulate their own findings and conclusions.

3.3 Professional Responsibility in Research

- (A). Research must be designed to respect the welfare, safety, privacy and dignity of human subjects and to avoid unnecessary pain and suffering to animal subjects.

3.4 Discrimination in Research

- (A). The University must not discriminate directly or indirectly, against any individual on the basis of race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth, in its
 -
 - (1). Research employment;
 - (2). Higher Degree by Research admissions; or
 - (3). Research agreements.

4 Research Compliance

- (A). The University and Researchers will comply with the —
 - (1). Research Code; and
 - (2). Research protocols as approved by a relevant Ethics Committee.
- (B). All Research funding agreements will be provided to the Office of Research in accordance with the relevant Research funding agreement requirements.
- (C). Signing of Research agreements will be in accordance with the Delegations Policy.

5 Conflicts of Interest in Research

- (A). Researchers will disclose Potential, Perceived or Actual **Conflicts of Interest** in accordance with the Conflicts of Interest Policy.
- (B). The University will manage Actual or Perceived Conflicts of Interest in relation to Independent Thesis Examination in accordance with the Australian Council of Graduate Research Conflict of Interest in Examinations Guidelines.

6 Responsible Conduct of Research

- (A). The University will —
 - (1). comply with the relevant laws, regulations, disciplinary standards, ethics codes and University Policies related to responsible Research conduct;
 - (2). provide each Researcher with written material on applicable legislation and institutional guidelines for the conduct of Research, including those covering ethical requirements for studies on humans and animals, hazardous materials including biohazards, requirements for confidentiality, and occupational health and safety matters; and
 - (3). maintain and support a responsible Research culture.
- (B). Researchers will —
 - (1). obtain the appropriate reviews and approvals prior to the commencement of Research from the following, which includes, but is not limited to —
 - (a). Animal Ethics;
 - (b). Carcinogenic and Mutagenic Substance;
 - (c). Chemical;
 - (d). Gene Technology & Biosafety;
 - (e). Human Ethics;
 - (f). Radiation Safety;
 - (g). Defence trade controls; and
 - (h). UN and Australian Sanctions.
 - (2). adhere to the conditions of any approvals given during the course of Research;
 - (3). uphold respect for animals used in Research while being compliant with the —
 - (a). Australian Code of Practice for the Care and Use of Animals for Scientific Purposes and Animal Welfare Act; and
 - (b). The Use of Animals in Research and Teaching Policy.
 - (4). uphold respect for human Research participants while being compliant with but not limited to the —
 - (a). National Statement on Ethical conduct in Human Research;

- (b). The Australian Institute of Aboriginal and Torres Strait Islander Studies: Guidelines for Ethical Research in Australian Indigenous Studies;
- (c). Ethical conduct in Research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for Researchers and Stakeholders 2018;
- (d). Keeping Research on Track II 2018;
- (e). Therapeutic Goods Act; and
- (f). Therapeutic Goods Administration Note for Guidance on Good Clinical Practice.

(C). The University will ensure that appropriate risk and legal checks of funding entities and research partners are made before research funding/partnerships are accepted from external parties. This includes, but is not limited to, checks for foreign interference and/or engagement in activities that are illegal or otherwise wholly misaligned with the values of the University.

7 Research Integrity Advisors (RIAs)

- (A). **Research Integrity Advisor** means members of the **University Community** who are appointed to provide advice about the responsible conduct of research and the University processes for dealing with allegations of **Research Misconduct**.
- (B). The University, in accordance to the Research Code, will —
 - (1). appoint Research Integrity Advisors to assist Researchers in addressing ethical and procedural issues in the design and conduct of their Research; and
 - (2). appoint Research Integrity Advisors who are experienced Researchers with a good knowledge and understanding of accepted practices in Research who actively promote the University's commitment to the responsible conduct of Research.
- (C). Researchers, in accordance to the Research Code, will actively participate in the training and development for postgraduate Research Students and **Supervisors** provided by the Graduate Research School.

8 Management of Research Data, Records and Primary Materials

- (A). The University and Researchers will —
 - (1). manage all Research outcomes in compliance with, but not limited to —
 - (a). Appropriate Use of IT Policy;
 - (b). Cyber Security Policy;
 - (c). Privacy Policy; and

(d). Intellectual Property Policy.

(2). manage all Research data, records and primary materials in compliance with but not limited to —

- (a). State Records Act;
- (b). Western Australian University Sector Disposal Authority;
- (c). Records Management Policy;
- (d). Research Data Management Plan; and
- (e). Therapeutic Goods Act.

(B). Researchers will —

- (1). store data in the UWA Institutional Research Data Store (IRDS) or equivalent University approved Research data store;
- (2). identify and retain the database location of original data or key information from where data was collected from limited access databases, or via a contractual arrangement;
- (3). make available for discussion with other Researchers all Research data related to publications in accordance with **FAIR Principles** where confidentiality restrictions do not apply. FAIR Principles means findable, accessible, interoperable and reusable. Further information is available at <https://www.go-fair.org/fair-principles/>;
- (4). link to, or store, published Research data in the UWA Profiles and Research Repository;
- (5). agree to limitations and restrictions which limit free publication and discussion where a Confidentiality Agreement (evaluation purposes) Form has been developed to protect **Intellectual Property** (IP) rights belonging to the University or to pass on obligations of confidence to others in relation to confidential information received by the University;
- (6). where confidentiality provisions apply, retain Research data in such a way that reference to the data by third parties may occur without breaching the confidentiality provisions;
- (7). at the commencement of the Research project provide the Deputy Vice-Chancellor (Research) (or their delegate) with a copy of all —
 - (a). confidentiality agreements;
 - (b). Research agreements;
 - (c). memoranda of understanding; and
 - (d). memoranda of agreement.
- (8). be responsible for the security of any confidential material, including that held in electronic media.

9 Authorship

(A). **Author** means a Researcher who has made significant intellectual or scholarly contribution

to the research described in the research output, and is willing to be accountable for their contribution, and agree to be listed as an Author.

- (B). **Authorship** will be based on substantial intellectual involvement.
- (C). All Authors must be collectively accountable for the whole Research output.
- (D). Authorship requires substantial contributions to Research output and must include one and should include two or more of the following —
 - (1). conception and design of the project;
 - (2). acquisition, processing and/or transformation of Research data where the acquisition has required significant intellectual judgement, planning, design, or input;
 - (3). contribution of knowledge, where justified, including Indigenous knowledge;
 - (4). analysis and interpretation of research data; and
 - (5). drafting significant parts of the work or critically revising it so as to contribute to the interpretation.
- (E). The University will —
 - (1). manage Authorship in accordance with the Research Code; and
 - (2). provide Library expertise in Research publication and data management support.
- (F). Researchers will —
 - (1). recognise Authors of Research outputs to be all those, and only those, who —
 - (a). have made a significant intellectual or scholarly contribution to the Research and its outputs;
 - (b). have agreed to be listed as an Author in writing or by email;
 - (c). have agreed to the order of the list of Authors in writing or by email
 - (2). sign a Statement of Authorship form that captures 1(a)-(c) above, as best practice, where there is more than one author;
 - (3). record during each project those who contribute to the Research so no person entitled to Authorship of the Research outputs as defined in this policy is excluded;
 - (4). cite and acknowledge other individuals who have contributed to the Research but do not meet the criteria for Authorship of this Policy;
 - (5). manage communications about the publication with the co-Authors and the editor/publisher;
 - (6). disclose upfront, not retrospectively, to the University and to publishers of their outputs, multiple submissions of Research findings including earlier versions of the Research;
 - (7). acknowledge funding bodies in a manner consistent with that described in the relevant funding agreement; and
 - (8). have an ORCID identifier that is linked in the UWA Profiles and Research Repository and included it in all of their publications.

- (G). Where there is a potential, perceived or actual Authorship dispute, this is to be dealt with in accordance with the Authorship and Disputes Procedure.
- (H). For an individual to be recorded as an Author of a publication it will require that they are directly involved in the creation of the publication by —
 - (1). contributing, as described in point 9 (C) above;
 - (2). giving final approval of the version to be published;
 - (3). signing the Statement of Authorship Form;
 - (4). contributing output that is sufficient for that person to take public responsibility for at least that part of the output in that individual's area of expertise; and
 - (5). authorship decisions be reviewed and agreed upon collectively by all collaborating Researchers periodically during the term of the Research project.

10 Publication and Dissemination of Research

- (A). The University will —
 - (1). manage Publication and Dissemination of Research in accordance with the Research Code;
 - (2). recognise the importance of Research being communicated to other Researchers, professional practitioners and the wider community;
 - (3). not accept publication of multiple papers based on the same set(s) or subset(s) of data, except where there is full cross-referencing within the papers;
 - (4). recognise that the deliberate inclusion of inaccurate or misleading information relating to Research activity in curriculum vitae, grant applications, job applications or public statements, or the failure to provide relevant information, is a form of Research Misconduct;
 - (5). support **Open Access** by providing and supporting Open Access infrastructure and publishing models.
- (B). Researchers will —
 - (1). disclose the submission of similar work to more than one publisher at the time of submission;
 - (2). record, in the UWA Profiles and Research Repository, details of their UWA Research publications or Excellence in Research for Australia (ERA) eligible non-UWA publications;
 - (3). make their publications openly available in accordance with the FAIR Principles;
 - (4). avoid transferring copyright to the publisher and ensure publication contracts allow self-archiving of the Author's accepted manuscript in the UWA Profile and Research Repository. If self-archiving is not included in the publisher contract, then University Authors will request inclusion of the following addendum —
 - (a). "The Author has the right to publically archive their revised, peer reviewed personal version of their paper in their institutional repository, provided a link to the version on the publisher website is included."

- (5). disseminate Research findings responsibly, accurately and broadly, and where necessary, take action to correct the publication record in a timely manner;
- (6). establish that all chief investigators agree to the re-submission and continue to meet the criteria for Authorship before a failed grant application can be re-submitted to the same or another funding agency;
- (7). adhere to the Open Access requirements of funding bodies, particularly the Open Access Policy of the Australian Research Council and the Open Access Policy of the National Health and Medical Research Council as referred to in the Research Integrity Policy Guideline;
- (8). add an explanatory note to the publication information in the UWA Profiles and Research Repository where legal or contractual obligations make Open Access limited or impossible; and
- (9). make publications available on Open Access under the most appropriate Creative Commons licence, and preferably the CC-BY licence.

(C). Research publications will —

- (1). include information on the sources of financial support for the Research, including scholarship funding for any Author who has been a Higher Degree by Research Student at the time the Research was carried out;
- (2). include the grant ID number(s) as well as the name of the funding body or bodies;
- (3). avoid financial sponsorship that carries an embargo on such naming of a sponsor. Where Research approval has been obtained, information to this effect is preferred to be included in the publication;
- (4). include information about ethics review and approval given to the research where relevant;
- (5). not conduct or submit for publication research that involves humans or animals without obtaining ethics review and approval before working with those people or animals;
- (6). obtain relevant reviews and approvals, such as Gene Technology, Chemical Safety, and Radiological Safety, for their Research as required by legislation or policy;
- (7). acknowledge that the work was carried out at the University by using the University by-line for publications and other outputs involving either a Student enrolled with the University, or a member of the University Community (including Adjunct and Honorary appointments);
- (8). include the full name of the University, as well as the official name of the appropriate faculty, school or centre in the by-line (e.g. School of Biomedical Sciences, University of Western Australia); and
- (9). be accurate in describing the state of publication (in preparation, submitted, accepted), Research funding (applied for, granted, funding period), and awards conferred, and where any of these relate to more than one Researcher.

11 Peer Review

- (A). **Peer Review** is defined in the Research Code.
- (B). The University encourages all Researchers to participate in Peer Review as this provides expert scrutiny of a project, and assists in maintaining high standards and encourages accurate, thorough and credible Research reporting.
- (C). Researchers will submit their Research for Peer Review, wherever possible, and participate in Peer Review in a way that is fair, rigorous and timely and maintains the confidentiality of the content.
- (D). Researchers whose work is undergoing Peer Review will not seek to influence the process or outcomes.
- (E). Supervising Researchers have a responsibility to assist trainee Researchers, including students, in developing the necessary skills for Peer Review and understanding their obligation to participate.

12 Collaborative Research Across Institutions

- (A). The University will —
 - (1). comply with the Research Code when conducting Research outside Australia when supported by Australian public funding; and
 - (2). make Researchers aware of and understand, the policy and agreements governing joint Research collaboration.
- (B). Researchers will —
 - (1). establish written agreements for each significant collaboration in conjunction with the Office of Research Development and Innovation who will provide support for the protection and commercialisation of Intellectual Property created at the University; and
 - (2). comply with multi-institutional agreements.
- (C). Research must adhere to the Research regulations and policies of host institutions and host nations when working outside of Australia.

13 Clinical Trials

- (A). The University will —
 - (1). support clinical trial Research by providing ethical review, clinical expertise, Research infrastructure, and funds administration;
 - (2). promote collaborative agreements with medical Research institutes, and public hospitals for the conduct of clinical trials where responsibilities are shared;

- (3). conduct or collaborate in a clinical trial at the discretion of the Deputy Vice-Chancellor (Research) who will take advice from Risk and Legal and Research support managers;
- (4). upon request, consider accepting the role of GCP Sponsor of a clinical trial and respond in writing with the outcome of its decision;
- (5). commit to GCP as defined by Therapeutic Goods Administration note for guidance when responsible for clinical trials administration; and
- (6). expect Researchers involved in clinical trials to understand and comply with the Guidelines for Good Clinical Practice.

(B) Researchers will —

- (7). obtain written acceptance from the University before nominating the University as a Good Clinical Practice (GCP) **Sponsor** of a clinical trial;
- (8). register clinical trials at Australian New Zealand Clinical Trials Registry and ensure that a Clinical Trials Notification is lodged with the Therapeutic Goods Administration when required.

14 Recognition and Social Responsibility in Research

(A). The University and Researchers will —

- (1). manage all engagement with Aboriginal and Torres Strait Islander peoples and respect their legal rights and local laws, customs and protocols in accordance with the Research Code;
- (2). comply with the requirements of Ethical conduct in Research with Aboriginal and Torres Strait Islander Peoples and communities: Guidelines for Researchers and stakeholders 2018;
- (3). identify and support opportunities for **Consumer and Community Involvement in Research** in accordance with the NHMRC and Consumers Health Forum of Australia Statement on Consumer and Community Involvement in Health and Medical Research, 2016.

(B). Consumer and Community Involvement in Research means the added value of appropriately including individuals with lived experience in the Research process.

15 Regulatory Compliance

(A). The University will cooperate with the Government in ensuring compliance with Australian Sanctions, Defence Trade Controls, Foreign Influence and other regulatory oversight of Research.

16 Training and Development

(A). In accordance with the Research Code the University will —

- (1). maintain the University's Graduate School of Research: Researcher Training Framework (RTF) enabling postgraduate Research Students and early career Researchers to identify and develop the skills relevant to both their immediate Research project and career aspirations; and
- (2). develop a Research Integrity Advisors Guideline.

(B). Researchers, in accordance with the Tertiary Education Quality and Standards Agency, will be compliant with RTF.

17 Breaches of the Research Code and Research Misconduct

(A). Research Misconduct means a serious breach of the Research Code which is also intentional or reckless or negligent.

(B). Research Misconduct is managed under the Academic Employees Agreement 2017 for Academic Employees, and Research Adjunct Employees and the University's Statute 17 for Research Students.

(C). The University will act in accordance with the Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research 2018. A breach of the Research Code may include but is not limited to —

- (1). plagiarism (including self-plagiarism or recycling academic publications and ghost-written academic work);
- (2). falsification of data;
- (3). fabrication of data;
- (4). improper use of research funds;
- (5). conflict of interest affecting an outcome;
- (6). research conducted without relevant ethical review and approval;

(D). The University will —

- (1). manage alleged Research breaches and Research Misconduct in accordance with the Research Code and Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research 2018;
- (2). address allegations of Research Misconduct in accordance with the —
 - (a). Guide to Managing and Investigating Potential Breaches of the Australian Code for the Responsible Conduct of Research 2018;
 - (b). UWA Academic Enterprise Agreement 2017; and
 - (c). Statute 17 and the Regulations for Student conduct and Discipline of the University Calendar for Students.
- (3). report serious matters of misconduct to the Western Australian Public Sector

Commission, or the WA Crime and Corruption Commission as required by the Corruption, Crime and Misconduct Act 2003; and

(4). report its management and findings of allegations of breaches of the code and Research Misconduct as required by funding body's policies on such reporting.

18 Research Equipment and Facilities

(A). The University must own all equipment purchased with Research grants, unless agreed otherwise in writing by the Deputy Vice-Chancellor (Research).

(B). Chief Investigators will be responsible for securing the necessary approvals for purchase, proper inventory, management of utilisation, and eventual disposal.

(C). The University must demonstrate equity and fairness in the allocation of access rights to its equipment and facilities.

19 Research Funds

(A). Chief Investigators will be financially responsible for appropriate expenditure and excess expenditure.

(B). The University will be responsible for the proper administration and checking of compliance.

(C). Research funding agencies may set reasonable restrictions on the expenditure of Research funds, however, the University must not accept restrictions that control the findings or conclusions of Research, nor the dissemination of the Research findings unless this is explicitly agreed to in the funding contract.

20 Research Appointments

(A). The University must, in its design of its Researcher recruitment processes, be open and transparent, and subject to equity and diversity obligations, place academic merit as the overarching criterion for selection and appointment.

21 Research Fieldwork

(A). Researchers will have a duty of care when undertaking fieldwork under the Occupational Safety and Health Act, 1984 (WA).

(B). Employees involved in the conduct of fieldwork must understand the Work Health and Safety procedures at <https://www.safety.uwa.edu.au/topics/off-campus/field-work->

remote.

(C). Researchers will be responsible for ensuring that third parties involved in fieldwork have considered the health and safety impact of their activities and have acted to manage those impacts accordingly.

Breach of Policy

(A). Failure to comply with this Policy by a Researcher may be considered a breach of the Code of Conduct and may result in disciplinary action.

Definitions

Academic Employee is defined in the University of Western Australia Academic Employees Agreement 2017

Author is defined in section 9

Authorship is defined in the Australian Code for the Responsible Conduct of Research which lays out the principles and rules for authorship of research outputs. Authorship requires substantial contributions to a research output in a combination of —

- conception and design of the project
- analysis and interpretation of research data
- drafting significant parts of the work or critically revising it so as to contribute to the interpretation.

Acquisition of funding, the collection of data, general supervision of the research group, provision of technical assistance or materials alone, does not constitute authorship. It is recognised that there may be specific requirements for authorship of some journals and editors.

Conflicts of Interest is defined in the Conflict of Interest Policy.

Consumer and Community Involvement in Research is defined in section 14

FAIR Principles are defined in section 8

Honorary Research Fellow is defined in the Honorary Appointments Policy.

Intellectual Property is defined in the Intellectual Property Policy.

Open Access is defined in the Australian Research Council Open Access Policy Version 2017.1 and National Health and Medical Research Council Open Access Policy 15 January 2018

Peer Review is defined in the Research Code

Policy is defined in the Policy Framework Policy.

Research is defined in the Research Code.

Research Adjunct Employee is defined in section 3

Research Integrity is defined in the Research Code.

Research Integrity Advisor is defined in section 7

Research Misconduct is defined in the Research Code.

Research Student is defined in section 3

Researcher is defined in section 3

Sponsor and **Sponsorship** is defined in the International Conference on Harmonisation's *Guideline for Good Clinical Practice* as annotated by the Commonwealth Therapeutic Goods Administration.

Supervisor is defined in the Policy Framework Policy.

University is defined in the Policy Framework Policy.

University Community means all individuals who engage in University Activity and/or use University Property.

Visiting Appointment is defined in the University Policy on Visiting Appointments.

End