Research Integrity

Advisors

Guideline

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Administrators AD Research Operations

Academic Secretary

# Intent

#### The University has appointed Research Integrity Advisors (RIAs) to assist Researchers in addressing ethical and procedural issues in the design and conduct of their Research.

#### The intention of the Research Integrity Advisors (RIAs) Guideline (this Guideline) is to provide advice on how to obtain ethical review, publication and dissemination of research findings, authorship, conflicts of interest, and management of research data and primary materials.

#### Research Integrity Advisors can also advise about questionable research practices and the process of making an allegation of a breach of the codes of ethics and conduct.

#### In essence, the RIAs are to —

##### provide advice to those with concerns around research conduct and potential complainants about the appropriate way forward;

##### provide guidance on relevant University processes and procedures;

##### advise on issues relating to activities external to the University e.g. authorship on research papers.

##### promote good research practice rather than react to concerns; and

##### understand that the role of RIA is advisory, not investigatory or compliance oriented.

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

##### Research Integrity Policy; and

##### Australian Code for the Responsible Conduct of Research.

# Topics for RIAs when advising (with resources)

#### Some of the following links will help RIAs in giving advice —

##### Research Development and Innovation (RDI)

###### http://rdi.uwa.edu.au/

##### RDI works with researchers to develop research opportunities, create impact from research, protect and commercialise intellectual property created at the University and also works with industry to facilitate collaborative research projects and access to new technologies.

##### Research Development Advisors (RDAs)

###### <http://research.uwa.edu.au/staff/rdo>

##### RDAs understand the dynamics of the academic research environment and provides expert and professional support for researchers progressing their careers through an integrated framework of professional and career development opportunities and resources.

##### Research data and primary materials - Institutional Research Data Store (IRDS)

###### <http://library.uwa.edu.au/research/irds>

##### The University’s 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.

##### Management of Data and Information in Research Guideline -This guide complements the Australian Code for the Responsible Conduct of Research (the Research Code), which articulates the broad principles and responsibilities that underpin the responsible conduct of Australian research

###### <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

###### scroll down to find a download link to the guide.

##### Supervision of research trainees

###### <http://postgraduate.uwa.edu.au/>

###### <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

###### scroll down to find a download link to the Supervision guide.

##### The Graduate Research School provides training and development for postgraduate research students and supervisors.

##### Dissemination of research findings

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

##### Research Publication and Data Services is a team within the University Library who have expertise in information and communication technologies with specific reference to research publications and data management.

##### Statement of Authorship Form

###### [www.research.uwa.edu.au/staff/research-policy/?a=554227](http://www.research.uwa.edu.au/staff/research-policy/?a=554227)

##### Members of a research team should make an authorship agreement for publications expected to arise from their research: included, excluded, acknowledged, and in what order – these should be based on expected contributions. This agreement should be a living document, revisited over the life of the project. Doing this will avoid most disagreements occurring later.

##### Authorship Guideline - This guide complements the Australian Code for the Responsible Conduct of Research (the Research Code), which articulates the broad principles and responsibilities that underpin the responsible conduct of Australian research.

###### <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

###### scroll down to find a download link to the Authorship guide. The Procedures for Resolving Disputes Between Authors should be referred to in the instance of resolving a dispute.

##### Peer Review

###### <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

###### scroll down to find a download link to the Peer Review guide.

##### Australian Code for the Responsible Conduct of Research (ACRCR); various guides to review, such as Nature at www.nature.com/authors/peer\_review/index.html and Committee on Publication Ethics (COPE) Ethical Guidelines for Peer Reviewers

###### <https://publicationethics.org/files/Ethical_Guidelines_For_Peer_Reviewers_2.pdf>

##### The COPE guidelines refer to reviews provided on manuscript submissions to journals, but can also include reviews for other platforms and apply to public commenting that can occur pre- or post-publication.

##### The University has a Conflicts of Interest policy and process for individuals to declare actual, perceived or potential conflicts of interest. This process enables greater transparency and action in managing conflict of interest risk for the University.

##### Conflict of Interest Guideline - This guide complements the Australian Code for the Responsible Conduct of Research (the Research Code), which articulates the broad principles and responsibilities that underpin the responsible conduct of Australian research.

###### <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

###### scroll down to find a download link to the Disclosure of Interests guide.

##### Collaboration

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

###### <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

###### scroll down to find a download link to the Collaborative Research guide.

# Research Ethics

#### Research involving people, animals, or Genetically Modified Organisms (GMOs), must be reviewed and approved first. Research Integrity Advisors can assist Researchers on these subjects —

##### Human Research Ethics – “Working with people” even includes simple things like: making observations about people; surveys, interviews, and focus groups;

##### Animal Ethics – Working with “animals” means lab animals and wildlife, vertebrates (including fish), cephalopods (e.g. octopus and squid) and decapods (e.g. crayfish); and

##### Biosafety reviews – Genetically Modified Organisms (GMOs, including modified plants, animals, microorganisms, and viruses) and bio‐hazardous material (e.g. blood, viruses, prions, mutagens and teratogens) and also biosecurity (formerly called “quarantine”, e.g. bringing plants, animals and soil into WA).

#### Each of these requires reviews, usually by an ethics committee —

##### Human Research Ethics Committee (HREC) – via Human Ethics Office;

##### Animal Ethics Committee (AEC) – via Animal Ethics Office; and

##### Institutional Biosafety Committee (IBC) – via Biosafety Office.

#### Each has regulatory instruments, listed below – The RIAs should have knowledge of these —

##### National Statement on Ethical Conduct in Human Research;

##### Australian Code for the Care and Use of Animals for Scientific Purposes;

##### Gene Technology Act and Regulations, administered by the Commonwealth Office of the Gene Technology Regulator (OGTR).

#### Please refer inquiries on review processes and compliance to the corresponding research support office in the Office of Research (OoR) —

##### Animal Ethics Office – 6488‐7887 – aeo@uwa.edu.au

##### Biosafety office – 6488‐4701 – biosafety@uwa.edu.au

##### Human Ethics office – 6488‐4703 – humanethics@uwa.edu.au

##### Office of Research – (defence trade, sanctions) – 6488‐8782 – researchintegrity@uwa.edu.au

#### There are additional reviews required for radiological & nuclear materials, and hazardous chemicals. Refer such inquiries to —

##### Safety, Health and Wellbeing

##### +61 8 6488 3938

##### safety@uwa.edu.au

# Breaches of the Ethics Codes

#### Breaches of the ethics codes for animals, research with people, or research with GMOs should be referred to the chair of the approving ethics committee, via its support office in the Office of Research (OoR).

#### RIAs are not required to investigate breaches or allegations of misconduct, and should not do so – instead refer the inquiry to the central Research Integrity or appropriate Ethics office as detailed in section 4 (A).

# Research Misconduct Allegations

#### Any evidence or allegation of research misconduct must be referred to the DVC(R). This can be via the Director, Office of Research. Examples of research misconduct include —

##### plagiarism (including self‐plagiarism or recycling academic publications and ghost-written academic work);

##### falsification of data;

##### fabrication of data;

##### improper use of research funds;

##### conflict of interest affecting an outcome;

##### research conducted without relevant ethical review and approval.

#### Some matters also involve non‐research behaviours. Forward those to —

###### Complaints Resolution Unit

###### +61 8 6488 8547

###### complaints@uwa.edu.au

# Defence Trade Controls

#### The Commonwealth Department of Defence’s Defence Export Controls section (DEC) oversees research collaborations with overseas parties that involve topics that can potentially be weaponised. Those are listed in a document called the Defence Strategic Goods List (DSGL).

#### International collaboration on these may need to be licenced by Department of Defence. The OoR can help staff assess that —

##### +61 8 6488 8782

##### researchintegrity@uwa.edu.au

#### The Defence Trade Controls Guideline should also be referenced.

# Sanctions

#### The Commonwealth Department of Foreign Affairs and Trade (DFAT) oversees our working with visiting academics or HDR students from countries sanctioned by Australian Legislation.

#### The OoR can help staff assess potential liability from training foreign nationals —

##### +61 8 6488 8782

##### researchintegrity@uwa.edu.au

#### The Autonomous Sanctions Guideline should also be referenced.

End