

 جامعة الإمارات العربية المتحدة United Arab Emirates University  	<b>Research and Sponsored Projects Policies Manual</b>	Policy Number	RA-09
		Effective Date	02-Mar-2014
	<b>Subject</b>	Most Recent Review Date	01-Dec-2013
	Research Integrity	Due Date for Next Review	01-Sep-2016
	<b>Responsible Office:</b> DVC Research & Grad. Studies	Pages of this Policy	1 of 4

## 9. Research Integrity

### Overview

Explains the expected conduct of persons associated with UAEU who are engaged in research projects for the purpose of ensuring proper conduct and deterring research misconduct through awareness of basic principles.

### Scope

Applies to the faculty, staff, and students of the UAEU.

### Objective

The University is committed to observing the highest standards of research integrity and the education of all its constituents regarding these standards so that they may act in accordance with the behavior required. This policy gives effect to that commitment.

### Policy

Research integrity is the basis upon which research communication and collaboration depends. It demands that those engaging in research and scholarship, in whatever discipline, will at all times, and without exception, adhere to the following basic principles:

- a) The highest professional standards in designing and conducting research and investigations are maintained;
- b) A critical, open-minded approach in conducting research and scholarship and in analyzing data is upheld;
- c) Frankness and fairness with regard to the contribution of partners, competitors, and predecessors are protected;
- d) Absolute honesty at all stages of enquiry is preserved, in particular, by avoiding:
  - i) Any form of fraud, such as fabricating or falsifying data;
  - ii) Piracy or plagiarism;
  - iii) Sabotaging the work, records or protocols of other researchers;
  - iv) Breach of confidentiality as a reviewer or supervisor; and
  - v) Complicity in any such actions as described under i) to iv) above.

#### 1. Academic Freedom in Research

A commitment to academic freedom is essential to the accomplishment of the University's overall Mission. By pursuing truth and its free expression, scholars and researchers advance and disseminate knowledge. In exercising their right to seek and to communicate knowledge freely and openly, members of the academic community also have the responsibility to act in accord with the highest standards of integrity and in conformity with applicable professional and legal codes and legislation, and with University Policies.

#### 2. Data Storage and Retention

- a) The definition of "data" for the purpose of this Policy encompasses the information on which the research is based, the methodology used to obtain results, the actual research results, and their analysis and interpretation by the researchers.

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- b) Data must be recorded in a clear and accurate format. Particular attention will be paid to completeness, integrity and security of these records.
- c) Data must be held for a minimum period of five years from the date of publication, unless a different length of time is approved by the DVCRGS.
- d) Data must be organized in a manner that allows ready verification either in paper or electronic format. Original data will be identified, in order to protect the University and researchers against allegations of data falsification.
- e) In the event of litigation, data and records must be accessible to the University and its legal advisors.
- f) Research data related to publications will be available for discussion with other researchers, except where confidentiality provisions prevail. Confidentiality provisions relating to research data and records shall apply in circumstances where the University or the researcher has made or given assurances of confidentiality to third parties or where disclosure would involve the unreasonable disclosure of information relating to the personal affairs of any person or when confidentiality is required to protect intellectual property rights.

### 3. Confidentiality

- a) When researchers have access to other researchers' work, researchers must first seek clarification from the originator regarding the extent of confidentiality of this information, before details or ideas can be discussed with others.
- b) In collaborative research, confidentiality agreements/non-disclosure agreements will be required when appropriate. Groups and individual researchers may be required to sign a confidentiality agreement before commencing work on the project.
- c) When the research is undertaken in accordance with a contractual agreement or under commercial sponsorship, the ownership of and responsibilities for research data and records will be determined prior to commencement of the research contract and will be specified in the research contract.
- d) Persons who are enrolled as subjects of research are entitled to confidential treatment of all information that they provide. If the information is to be shared with another organization, the subjects(s) is (are) required to read and sign a consent form.

### 4. Authorship

- a) The University upholds and supports the principle that publication of research results and other scholarly work is an intrinsic part of research endeavor. Publication and authorship must be approached in a responsible manner, adhering to ethical principles and internationally accepted standards.
- b) Unless otherwise is stated, there will be no limitation or restriction on public dissemination of results of any project in which UAEU is a participant, regardless of the source of funding.
- c) Authorship guidelines are detailed below:
  - (i) **Authorship:** A person claiming authorship of a scholarly publication must meet the following criteria:

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- Substantial participation in the conception, design, or implementation of the study, or substantial participation in the analysis and interpretation of data; or substantial participation in the drafting of the manuscript or in the substantive editing of the manuscript; and
  - Ability to explain and defend their contribution to the study in public or scholarly settings.
- (ii) **Acknowledgement:** Contributions that do not justify authorship can be acknowledged separately in the notes to the manuscript. These may include general supervision of a research group, assistance in obtaining funding, or technical support.
- (iii) **Honorary Authorship:** Honorary authorship, i.e., inclusion as co-author of a person who does not meet the foregoing criteria for authorship is unethical and therefore not permitted.
- (iv) **Student Authorship:** Faculty members will honor their responsibility to safeguard the rights of students to publish the results of their research, and the rights of students to be given appropriate credit for their contributions to research.
- (v) **Senior Author and Order of Authorship:** Generally, the senior author is defined as the person who leads a study and makes a major contribution to the work. It is the responsibility of the Senior Author to assure that the contributions of study participants are properly recognized.
- (vi) **Disputes over Authorship:** The PI in collegial consultation with the other authors, e.g., over the question of who has a right to be named as an author or on the order of authorship, shall resolve disagreements over authorship. If the authors themselves cannot resolve authorship disputes, the College Dean should find ways to resolve them.

## 5. Publication

- a) When publishing results of research or any public statement about one's research, all reasonable steps must be taken to ensure that published reports, statistics and public statements about research activities and performance are accurate.
- b) Similarly, inclusion of inaccurate or misleading information relating to research activity in curriculum vitae, grant applications, job applications, etc., is unethical.
- c) Publication of multiple papers reporting the same research results is not acceptable, except where the papers fully acknowledge the respective other publications. An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission.

## 6. Conflict of Interest

Researchers shall avoid any situation that involves or may involve a conflict between his/her personal interest and the interest of the UAEU. As in all facets of their duties, researchers must act in the best interest of the UAEU while dealing e.g. with outside research institutions, other universities, outside business ventures, subcontractors, or any person doing business or seeking to do business with the UAEU. Researchers shall make prompt and full disclosure in writing of any potential situation that may involve a conflict of interest, to their Dean, Department Chair, or Head of Unit. Such situations include, but are not limited to, the following:

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- a) Ownership by a researcher or a member of his/her family, of a significant interest in any outside enterprise that does or seeks to do business with the UAEU.
- b) Serving as a director, officer, partner, consultant, or in a managerial or technical capacity with an outside enterprise that does or is seeking to do business with the UAEU.
- c) Acting as a broker, finder, go-between or otherwise, for the benefit of a third-party in a transaction involving or potentially involving the UAEU or its interests.
- d) Any other arrangements or circumstances, including family or other personal relationships, which might discourage the Researcher from acting in the best interests of the UAEU.

## 7. Misconduct in Research

- a) Research misconduct is here principally defined as “fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research or deliberate, dangerous, or negligent deviations from accepted practices in carrying out research.”
- b) Research misconduct also includes:
  - (i) Failure to follow established research policies that deal with risk or harm to humans, other vertebrates or the environment, and/or facilitating or covering up such actions by others; or
  - (ii) Intentional, unauthorized use, disclosure or removal of, or damage to, research-related property of another person or entity, including apparatus, materials, writing, data, hardware or software or any other substance or devices used in or resulting from the conduct of research.
- c) Research misconduct does not include honest error or honest differences in the design, execution, interpretation or judgment in evaluating research methods or results or misconduct unrelated to the research process. Similarly, it does not include poor research unless this conduct encompasses the intention to deceive.
- d) When an allegation of research misconduct is made by an identified individual or group against an employee, a student, visiting researcher or fellow working at the time when misconduct is alleged to have occurred, this allegation should be first investigated by the College Dean and if warranted refer the allegation to the DVCRGS, along with the preliminary findings, for a full investigation. Allegations by anonymous persons will in general not be investigated by the University.