**1. General Principles**

Research integrity is fundamental to research communication and collaboration. Individuals engaging in research and scholarship should at all times, and without exception, adhere to the following basic integrity principles:

1.1 the highest professional standards in designing and conducting investigations are maintained;

1.2 a critical, open minded approach to research and scholarship and data analysis is upheld;

1.3 frankness and fairness with regard to the contribution of partners, competitors, and predecessors is protected; and

1.4 absolute honesty at all stages of enquiry is preserved, in particular, avoiding: 1.4.1 any form of fraud, such as fabricating or falsifying data or records;

1.4.2 piracy or plagiarism;

1.4.3 sabotaging the work, records or protocols of other researcher; and

1.4.4 breach of confidence as a reviewer or supervisor, and complicity in such actions by fellow researchers, as per the Research Misconduct Policy.

**2. Academic Freedom in Research**

2.1 A commitment to academic freedom is essential to the accomplishment of the overall mission of the University. By pursuing truth and its free expression, scholars and researchers advance and disseminate knowledge. In exercising their right to seek and 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, as well as with University policies.

**3. Principles of Sustainability**

3.1 ADU is committed to a focus on sustainability in faculty and student research, and encourages innovation in creating original knowledge in ways of generating and acting on sustainable practices. Guided by the UN’s 2030 sustainable development agenda and its seventeen goals, the most significant impact that Abu Dhabi University can have in addressing sustainability results from equipping its students with knowledge of sustainability through its academic programs for their personal and professional lives, and also through the impact of the research

3.2 projects that are conducted by its faculty and students in its labs and research centers in

3.3 collaboration with national and international universities and research institutes.

**4. Data Storage and Retention**

4.1 The definition of “data” for the purpose of this policy encompasses the methodology used to obtain results, the actual research results, and the analysis and interpretations of results by the researchers.

4.2 Data must be recorded in a clear and accurate format. Particular attention should be paid to completeness, integrity and security of these records. Data will normally be held for a minimum period of five years from the date of publication. Data must be organized in a manner that allows ready verification. Original data should be authenticated, in order to protect the university and researchers against allegations of data falsification.

4.3 In the event of litigation, data and records should be accessible to the University and its legal advisors to determine their relevance.

4.4 Research data related to publications should be made available for discussion with other researchers, except where confidentiality provisions prevail. Confidentially provisions relating to research data and records shall apply in circumstance where the University or the researcher is bound by confidentiality agreements with third parties, disclosure would involve the unreasonable disclosure of information relating to the personal affairs of any person or confidentiality is required to protect intellectual property rights.

**5. Confidentiality**

5.1 Data will be considered confidential when: 5.1.1 A researcher has access informally to another researcher’s work either by way of, for example, discussion or sight plans, the researcher must first seek clarification from the originator regarding the nature and status of this information, i.e., is it confidential, before details or ideas can be discussed with another.

5.1.2 Individual researchers are required to sign a confidentiality agreement before commencing work on a project.

5.1.3 The data is personal information about an individual. If this kind of information is to be shared with another organization, the individual involved must complete a consent form.

5.2 When research is undertaken in accordance with a contractual agreement or under commercial sponsorship, the ownership of research data and records and responsibilities should be determined prior to commencement of the research contract and should be specified in the research contract.

**6. Authorship**

6.1 Abu Dhabi University upholds and supports the notion that publication of research results and other scholarly work is an intrinsic part of any research endeavor. Publication and authorship must be approached in a responsible manner, adhering to ethical principles and internationally accepted standards.

6.2 There should be no limitations or restrictions as to public disseminations of results of any project affiliated in any way with Abu Dhabi University, whether financed with national funds or from grants from private organizations.

6.3 Authorship rules are detailed below.

6.3.1 Authorship: A person claiming to be an author of a scholarly publication must meet the following criteria: (a) the person in question has participated substantially to the conception and design of the study, or to the analysis and interpretation of data; (b) the person in question has participated substantially in the drafting of the manuscript or in the substantive editing of the manuscript; (c) the manuscript to be published has received final approval from the publisher; and (d) the person in question can explain and defend the study in public or scholarly settings.

6.3.2 Acknowledgment: Contributions that do not justify authorship should be acknowledged separately in the notes to the manuscript. Example contributions of this type may include general supervision of a research group, assistance in obtaining funding, or technical support.

6.3.3 Honorary Authorship: This type of authorship, which would apply to persons who may have been associated in some way with a study but do not meet the four criteria of the authorship is discouraged and may, in fact, constitute an unethical research practice.

6.3.4 Graduate Student Authorship: Faculty should be especially aware of their responsibility to safeguard the rights of graduate students to publish the results of their research.

6.3.5 Senior Author and Order of Authorship: The senior author is generally defined as the person who leads a study and makes a major contribution to the work. All the authors at the outset of a project should establish senior authorship, preferably in a written memorandum of understanding. This memorandum of understanding should reference the authors’ agreement to abide by their departments’ policy(ies) on authorship or the University policy on authorship. At the outset of a study, the senior author should discuss the outline of work and a tentative order of authorship with the study participants. As projects proceed, agreements regarding authorship may need to be changed. It is the responsibility of the senior author to assure that the contributions of study participants are properly recognized.

6.3.6 Disputes Over Authorship: Disagreements over authorship, e.g. who has a right to be an author or the order of authorship, should be resolved by the senior author in collegial consultation with the other authors.

**7. Intellectual Property Rights**

7.1 The establishment and use of intellectual property must not conflict with obligations under the University’s Conflict of Interest Policy. Intellectual property rights conform to the UAE and international laws and regulations. 7.1.1 Unless otherwise specified, the copyright of materials created by an employee within the scope of employment are owned by the employer. The University retains a perpetual, non-exclusive, royalty-free, irrevocable license to any documents, such as documents submitted to regulators and accrediting bodies, for the purpose of continuing to teach any course of instruction for which the documents were prepared with the right to revise and update them as required for this purpose.

7.1.2 Copyright to personal work created outside the scope of University employment which do not use University resources are owned by the creator.

7.1.3 ADU does not claim copyright ownership to written work by academic and non-academic personnel, for the purpose of scholarly research, such as journal publications, conference proceedings and scientific books.

7.1.4 ADU does not claim copyright ownership of musical, artistic, or imaginative work produced and/or composed by academic and non-academic personnel, with the exclusion of potential work being an IP asset.

7.1.5 The University will own copyright, including teaching materials, in any of the scenarios listed below:

7.1.6 Commissioned for University purposes which are produced by individuals not employed at the University, or by University employees outside their regular University employment.

7.1.7 Created by an employee of the University hired with the specific responsibility of producing the materials. Sponsored works first produced by, or through, the University in the performance of a written agreement between the University and a sponsor: internal grants where work is created as a result of an agreement between the University and the creator(s) of the work, or external grants where work is created as a result of an agreement between the University and external sponsor. If rights to copyrightable material from a sponsored project are shared, the copyrightable material should be specified in the written sponsored agreement. This provision does not apply to grants to perform research where the production of intellectual property is ancillary to the purpose of the grant.

7.1.8 Created with the use of additional university resources which are specifically provided to support the production of the IP materials.

7.1.9 The creator received special or additional compensation to create the IP material beyond their regular salaried appointment.

7.2 With reference to 7.5.3., additional University resources includes the dedicated allocation of resources not routinely available to faculty for the production of copyrightable/IP material such as the development of e-learning courses and programs requiring co-development with, but not limited to, multimedia and technology support staff, videographers and instructional designers. Credit hour reduction in teaching loads specifically for the purpose of developing copyrightable/IP materials is considered additional university resources. It does not include resources normally made available to faculty such as routine secretarial support, or library resources.

7.3 Ownership of copyrights to contracted facilities work, produced by non-university personnel or University employees acting outside the scope of their employment, shall be governed by a written agreement permitting the use of specific University facilities which may specify the ownership of resulting copyrights rests with the University, or the University may be paid a fee for use of the facility.

7.4 In general, a registered student at ADU creating any copyrightable works will be entitled to ownership given the student has not used resources in excess of those available to them as an enrolled student with the University, excluding financial aid, with the exemption that the work was not completed under conditions outlined in 7.5.1.to 7.5.4.

Further detail is provided in ADU’s Intellectual Property Policy.

**8. Publication**

8.1 When publishing research, all reasonable steps must be taken to ensure that published reports, statistics and public statements about research activities and performance are complete, accurate and unambiguous.

8.2 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.

8.3 Publication of multiplier papers based on the same set(s) or sub-set(s) of data is not acceptable, except where there is full cross-referencing within the papers. An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission.

**9. Conflict of Interest**

9.1 A researcher must make full disclosure of any conflict of interest as soon as reasonably practicable to their reporting officer. Examples of conflicts of interest in research include: (a) the researcher has an affiliation or a financial involvement with the sponsor of the research, and (b) the researcher or a related body may benefit, directly or indirectly, from any inappropriate dissemination of research results.

**10. Research Misconduct**

10.1 Research misconduct is defined as “The fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results or research or deliberate, dangerous, or negligent deviations from accepted practices in carrying research.”

10.2 Research misconduct also includes: (a) failure to follow established research protocols with the result of unreasonable risk or harm to humans, other vertebrates or the environment, facilitation of research misconduct or the cover up of misconduct by others; and (b) intentional, unauthorized use, disclosure ; removal of, or damage to research-related property of another, including apparatus, materials, written work, data, hardware or software or any other substance or devices used in or produced by the conduct of research.

10.3 Research misconduct does not include honest error or honest differences in the design, execution, interpretation evaluation of research methods or results or misconduct unrelated to the research process. Poor research does not necessarily imply that there has been research misconduct unless the poor research entails an intention to deceive.

10.4 When an allegation of research misconduct is made against a member of staff or a student, visiting researchers or fellows working at the time of misconduct are alleged to have occurred with the Abu Dhabi University, the allegation will be fully investigated, as per the Policy on Allegations of Research Misconduct.

**11. Benefits**

11.1 The key benefit of this policy is that it provides guiding principles for ensuring ethical behavior for conducting research, which protects the integrity of research and the reputation of the university.

**12. Implementation**

This policy, will primarily, be implemented under the leadership of the Associate Provost though the structures of the research, innovation and impact committee, contiguously with the Allegations of Research Misconduct Policy.

**13. Roles and responsibilities**

**1.1** The Research, Innovation and Impact sub-committee has responsibility for ensuring the ongoing relevance of this policy with the support and advice of the Institutional Review Board.

**Exceptions**

For any conditions/circumstances and/or exceptions outside the conditions stated in this policy, a request shall be presented to the Board of Directors for decision.

Footnotes: Allegations of Research Misconduct Policy; Institutional Review Board for Human Participants Research Policy; University Research Support Policy; Intellectual Property Policy; Conflict of Interest Policy.