

1. Document Details

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Important Note: If the ‘Status’ of this document reads ‘Draft’, it has not been finalised and should not be relied upon.

2. Revision History

Version Number	Revision Date	Summary of Changes	Changes tracked?
1.0	Oct 2014	Final Draft	

3. Relevant/Related Existing Internal Documents

Cork Institute of Technology, <i>CIT Ethics Checklist and Policy</i> , May 2013
Cork Institute of Technology, <i>Code of Good Practice in Research</i> , 2005
Cork Institute of Technology, <i>Computer Systems Acceptable Usage Policy</i> , September 2009
Cork Institute of Technology, <i>Data Protection Policy</i> , April 2009
Cork Institute of Technology, <i>Policy on Intellectual Property</i> , July 2011
Cork Institute of Technology, <i>Postgraduate Regulations</i> , September 2013

4. Relevant/Related Existing External Documents

N/A

5. Consultation History

This document has been prepared in consultation with the following bodies:

R&D Committee, Academic Staff and Students via Academic Council

6. Approvals

This document requires following approvals (in order where applicable):

Name	Date	Details of Approval Required
Academic Council	7 th November 2014	Approved by AC

Governing Body	4 th December 2014	Approved

7. Purpose

This code sets out a series of guiding principles and standards for good research practice and applies to all disciplines. It does not include a prescriptive set of rules or regulations. These are dealt with in other documents, in more detail, as appropriate (see Appendix A for references) and should be referenced throughout the research process.

7.1 Introduction

- 7.1.1 CIT is committed to ensuring that the research it supports is carried out with the highest possible standards of integrity and in conformity with current legislation.
- 7.1.2 CIT expects that all research is performed to the highest standards of integrity at all times, irrespective of whether the researchers are students, contract researchers or staff members of the Institute, or their collaborators. Research integrity takes precedence over any consideration related to the source of the funding, either internal or external.
- 7.1.3 This code sets out a series of guiding principles and standards for good research practice and applies to all disciplines. It does not include a prescriptive set of rules or regulations. These are dealt with in other documents, in more detail, as appropriate (see Appendix A for references) and should be referenced throughout the research process.
- 7.1.4 According to the Framework for Qualifications of the European Higher Education Area, “the word *research* is used to cover a wide variety of activities, with the context often related to a field of study. The term is used in this document to represent a careful study or investigation based on a systematic understanding and critical awareness of knowledge. The word is used in an inclusive way to accommodate the range of activities that support original and innovative work in the whole range of academic, professional and technological fields....”.
¹The term *research* therefore includes basic and applied research, scholarship, creative work, performance, composition and related activities. It excludes the development of materials and content which are used for the purpose of teaching, but which are not based on original research.

7.2 This Code of Good Practice in Research should be used by:

- 7.2.1 All permanent, part-time or contract staff employed by CIT, or any other individuals participating in research on any of the CIT campuses, or on behalf of CIT at any location.
- 7.2.2 Students registered in CIT and their supervisors.
- 7.2.3 Students who are registered outside of CIT, but conducting research at, or on behalf of, CIT.

¹ Framework for Qualifications of the European Higher Education Area, page 68, (February 2005), http://www.bologna-bergen2005.no/Docs/00-Main_doc/050218_QF_EHEA.pdf

- 7.2.4 Individuals who hold honorary or adjunct positions and who are conducting research at, or on behalf of, CIT.

8. Scope

The Code of Good Practice in Research should be used by:

- All permanent, part-time or contract staff employed by CIT, or any other individuals participating in research on any of the CIT campuses, or on behalf of CIT at any location.
- Students registered in CIT and their supervisors.
- Students who are registered outside of CIT, but conducting research at, or on behalf of, CIT.
- Individuals who hold honorary or adjunct positions and who are conducting research at, or on behalf of, CIT.

9. Principles

The key element in good research practice is self-regulation. Integrity cannot be imposed, and the threat of sanctions is not in itself sufficient to prevent every instance of misconduct. The surest foundation for good practice is an acceptance of and commitment to a number of shared ethical principles. Honesty and integrity are central to high quality research and should be part of the research culture of CIT.

The following Principles are considered by CIT to be the essential responsibilities and values relevant to research²:

- 9.1.1 Excellence** – researchers should strive to perform research of the highest quality.
- 9.1.2 Honesty** – CIT will endeavor to foster a culture of honesty across the institute. Researchers within CIT, or their collaborators, should be honest in the way they conduct all aspects of their research.
- 9.1.3 Integrity** – researchers should comply with all legal and ethical requirements pertinent to their work and declare any conflicts of interest and the means to resolve them.
- 9.1.4 Co-operation** – researchers should support the open exchange of information and debate/discuss same in a constructive manner subject to any reasonable constraints of confidentiality.
- 9.1.5 Accountability** – researchers should expect to be accountable to their colleagues, the Institute, the funding organization, their collaborators and the general public and should not invoke confidentiality to suppress reasonable dissemination and debate.
- 9.1.6 Training and skills** – CIT will endeavor to ensure there is appropriate training and career development opportunities for its researchers and collaborators, where appropriate, and

² Adapted from the UKRIO Code of Practice for Research (September 2009)

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provide timely advice in this regard. Researchers should ensure they are appropriately trained and educated in the requisite skills necessary for them to be effective researchers.

- 9.1.7 Health and Safety** – CIT and its researchers and collaborators should make best efforts to ensure that all health and safety risks are identified and, wherever possible, mitigated, with the support of expert advice if needed. They should report and address any concerns and continue the research only if the risks have been satisfactorily addressed.

These principles shall guide all individuals engaged in research activity in Cork Institute of Technology. It is the responsibility of the individual to adhere to the guidelines, whether they work within a group of researchers or not.

10. Definitions

N/A

11. Policy

11.1 CODE OF PRACTICE

11.1.1 Ethical Standards

- 11.1.1.1 The guidelines set down by the CIT Research Ethics Committee (REC) are to be followed at all times.
- 11.1.1.2 Researchers in CIT will seek to follow the highest ethical principles in conducting their research. Honesty, integrity, openness, accountability and fairness should inform all research practice.
- 11.1.1.3 Researchers in CIT will undertake to participate only in work which conforms to national and EU law and pertinent international regulations and to accepted ethical standards, with the CIT Code of Good Practice in Research serving as the primary reference. Ethical issues which cannot be decided with reference to this Code should be referred to the CIT Research Ethics Committee.

11.1.2 Research Design

- 11.1.2.1 When designing a research programme, researchers should ensure that best efforts are made so that:
 - The research adds to the existing knowledge base
 - The design proposed is appropriate to the research question(s)
 - There is a plan on how data will be gathered, analysed and interpreted
 - All the necessary skills and infrastructure are in place
 - All the necessary resources, of the relevant standards, are in place
 - Any shortfalls in the research design are identified and addressed satisfactorily prior to commencement of the project
- 11.1.2.2 Assessment and mitigation of health and safety risks should be an integral part of research design.
- 11.1.2.3 Best efforts should be made so that all ethical issues are identified and addressed prior to commencement of the research and any ethical issues arising during the research are addressed at the earliest opportunity.
- 11.1.2.4 Researchers and, where appropriate CIT, should make best efforts to anticipate any outcomes of a research project which might be harmful, or which could be misused for purposes that are illegal or unethical.

11.1.3 Openness to Critical Debate and Review

- 11.1.3.1 Within the limits imposed by the requirements of confidentiality, debate on and reasoned criticism of research work within the internal and external research community are essential to the research process. Hence, every effort should be made to make available research findings to other researchers in the field for discussion, verification and replication, through participation in research seminars and publication of results in peer-reviewed publications or presentation at peer-reviewed conferences.
- 11.1.3.2 In addition, researchers should be open to having their research reviewed by the CIT Research Ethics Committee at any time, and/or in the light of any misconduct allegations.
- 11.1.3.3 Researchers should be open to having their research disseminated amongst the general public in a manner which can be understood and which informs the audience in a balanced and evidence-based discourse.
- 11.1.3.4 Important though it is to encourage open and critical debate, researchers have a duty of care to themselves and their collaborators not to reveal information without due regard to all concerned and the implications thereof.

11.1.4 Critical Approach to Research Results

- 11.1.4.1 Researchers must take a critical approach to their own research results, and should strive to continually assure validity and accuracy in collecting and reporting data.
- 11.1.4.2 CIT expects that research results which are made public, in whatever forum, have been thoroughly checked and are ready to be peer-reviewed debated and challenged.
- 11.1.4.3 Researchers should not become involved in research where the normal research processes are not possible, for example through commercial pressures or pressures applied by a funding source. This is separate to having due regard to the protection of Intellectual Property.

11.1.5 Professional Misconduct

- 11.1.5.1 Conduct that knowingly involves false, misleading or deceptive practices with respect to the collection, analysis and reporting of data is wholly unacceptable.
- 11.1.5.2 Professional misconduct includes, but is not limited to: the fabrication and falsification of results; plagiarism or misappropriation of the data and results of others; misrepresentation of data or results, including the omission of data which cannot be understood or do not 'fit' the hypothesis; denigration of others; or interference with the work of others.
- 11.1.5.3 Professional misconduct also includes violation of Intellectual Property Rights at any stage during the collation, analysis or reporting of research data.
- 11.1.5.4 Researchers, their collaborators and any personnel involved in a project should ensure their conduct is in line with the CIT Policy on Intellectual Property.

11.1.6 Codes of Conduct of Professional Bodies

- 11.1.6.1 In any research project, researchers will abide by the standards of practice and codes of conduct of their professional bodies and scientific societies as applicable. In case of conflict, researchers are bound to abide by the CIT Code of Good Practice in Research.

11.1.7 Relationship with Funding Bodies and Sponsors

- 11.1.7.1 Researchers must act with integrity and accountability when applying for funding and sponsorship, and will display probity in using the funds only for the purposes for which they were given. This includes, but is not limited to, ensuring that the research programme is carried out as defined in the original proposal to the funding body or sponsor, unless amendments have been agreed in writing.
- 11.1.7.2 At the same time, the agreement reached on the research programme between funding body and researcher must enable the research to be undertaken in accordance with the provisions of this Code of Practice.
- 11.1.7.3 Any agreement that seeks to control the aims of research so as to favour particular conclusions or recommendations, or that seeks to impose undue constraints on following good practice in research enquiry, is wholly unacceptable.

11.1.8 Discrimination

- 11.1.8.1 Research activity will avoid discrimination (or its promotion) on the basis of age, gender, race, ethnicity, national origin, sectarian or religious denomination, sexual orientation, disability, health conditions, and marital, domestic or parental status.
- 11.1.8.2 Sensitivity should be exercised with regard to cultural and other individual differences.

11.1.9 Health and Safety

- 11.1.9.1 The guidelines set out in the CIT Health and Safety Statement are to be followed at all times.
- 11.1.9.2 Research is to be carried out with due consideration given to health and safety issues.
- 11.1.9.3 Academic Departments, Research Centres and Groups and research supervisors have a particular responsibility to ensure the health and safety of all researchers, staff and students, in their care.

11.1.10 Research Involving Human Participants

- 11.1.10.1 The guidelines set down by the CIT Research Ethics Committee in relation to research involving human participants (including minors) must be followed at all times.
- 11.1.10.2 In engaging in research with human participants (including minors), respect will be accorded to them in terms of their rights, dignity, self-worth and psychological and physical harm. All legal and ethical requirements must be adhered to.
- 11.1.10.3 All research involving human participants (including minors) must be passed by the CIT Research Ethics Committee whether CIT is the lead participant or not and whether the research is carried out in Ireland or not.
- 11.1.10.4 In the event that more than one jurisdiction is involved in research involving human participants (including minors), the legal and ethical requirements in both Ireland and the country in which the research is being conducted must be met; if the research is being conducted in Ireland then the legal and ethical requirements of all national jurisdictions of the collaborators must nevertheless be met. In the case of conflict, no CIT researcher should participate in any research which is not fully compliant with Irish legal requirements and the recommendations of the CIT Research Ethics Committee in the first instance.
- 11.1.10.5 Informed consent needs to be sought of human participants (including minors), with the freedom to withdraw at any time during the research process.
- 11.1.10.6 Openness in research practice is the norm. Covert research³ should only be engaged in where no other methods will yield important data, and must not violate human rights, dignity and worth under any circumstances.
- 11.1.10.7 Wherever possible, human participants (including minors) are debriefed after the research process.
- 11.1.10.8 Confidentiality with regard to all participant information is to be respected, with due care given in both the collection and recording of data.

11.1.11 Research Involving Animals

- 11.1.11.1 The guidelines set down by the CIT Research Ethics Committee in relation to research involving animals must be followed at all times.
- 11.1.11.2 Researchers must not violate established professional ethics pertaining to the use of animals in research.

³ Covert research refers to research which may on occasion be practised in the Humanities, for instance, where social behaviours might be altered by awareness of being observed.

- 11.1.11.3 Research involving animals requires the prior consent of the CIT Research Ethics Committee, whether the animals are in Ireland or elsewhere. In the event that more than one jurisdiction is involved in research involving animals, the legal and ethical requirements in both Ireland and the country in which the research is being conducted must be met; if the research is being conducted in Ireland then the legal and ethical requirements of all national jurisdictions of the collaborators must nevertheless be met. In the case of conflict, no CIT researcher should participate in any research which is not fully compliant with Irish legal requirements and the recommendations of the CIT Research Ethics Committee in the first instance.
- 11.1.11.4 Wherever feasible, the least sentient species with the appropriate physiology should be used. The principles of replacement, reduction, refinement should be adhered to.⁴
- 11.1.11.5 The infliction of pain or injury upon animals is to be avoided.

11.1.12 Research Collaboration

- 11.1.12.1 In all aspects of research, the contributions of formal collaborators and all others who directly or indirectly assist the research must be properly and appropriately acknowledged. This includes, but is not limited to, the provision of information about the nature and process of the research and the publication of the findings.
- 11.1.12.2 Failure to acknowledge the contributions of others is regarded as professional misconduct.
- 11.1.12.3 Conversely, collaborators and other contributors carry their share of the responsibility for the research and its outcome.
- 11.1.12.4 Sponsors of research should be acknowledged, where appropriate.

11.1.13 Conflict of Interest

- 11.1.13.1 CIT's policies on conflict of interest are to be followed at all times.
- 11.1.13.2 Researchers must firstly declare and secondly seek to minimise any conflict of commitment or interest whether real, potential or perceived.

11.1.14 Confidential Material

- 11.1.14.1 If the research involves confidential material, confidentiality must be observed and researchers must not use such information for their own personal advantage or for that of a third party.
- 11.1.14.2 Confidentiality should not unduly restrain the research process and should not conflict with the guidelines set out in this code.

⁴ Russell, William Moy Stratton, Rex Leonard Burch, and Charles Westley Hume. "The principles of humane experimental technique." (1959)

11.2 RESEARCH RESULTS

11.2.1 Data Storage and Retention

- 11.2.1.1 Researchers are required to keep clear and accurate records of the research procedures followed and of the results obtained, including interim results.
- 11.2.1.2 Ownership of data remains with the Institute and its collaborators in accordance with any agreements entered into and signed by all parties at the outset of the project.
- 11.2.1.3 Data generated in the course of research (including electronic data) must be recorded in a durable and appropriately referenced form, and must be held for a sufficient period of time to allow for legitimate reference and review. Provision should be made for automatic backup of electronic data.
- 11.2.1.4 Where sponsoring agencies require retention of data and continued access to the data for a specified minimum period after the conclusion of the research, provision should be made for this during the course of the research.
- 11.2.1.5 Furthermore, data generated in the course of research (including electronic data) must be kept securely and in accordance with the statutory requirements of the Data Protection Act, other relevant legislation and any requirements imposed by funding agencies.

11.2.2 Intellectual Property

- 11.2.2.1 The guidelines set out in the *CIT Intellectual Property Policy* are to be followed at all times.
- 11.2.2.2 As a general principle, researchers should not engage in any activities which may prevent any Intellectual Property arising from the research from being appropriately exploited.

11.2.3 Academic Authorship

- 11.2.3.1 Due recognition is to be given in terms of academic authorship to all contributors in any publications and reports. In determining authorship and the order in which the authors are listed, weight of contribution, not seniority should be the determining factor.
- 11.2.3.2 To be listed as an author, a researcher must have made a substantial contribution to the research and be familiar with all the contents of the publication.
- 11.2.3.3 Conversely, all authors of a publication (including electronic) must be prepared to publicly acknowledge authorship. Acknowledged authors of a multi-author publication should be familiar with the content of a publication and able to identify their own contribution.
- 11.2.3.4 It is not acceptable for researchers to publish multiple papers based on the same set(s) of data, except where there is full cross-referencing within the papers.

11.2.3.5 As a general principle, research findings should be reported, preferably by peer-reviewed publication or presentation, to a research audience of experts in the field of research before they are reported in the general public media.

11.2.3.6 Only those who have contributed to the research contained in the publication can be listed as authors. Through the use of citations, authors of a paper may refer to substantive work by other authors which informed their paper, but may not include those authors in an honorary capacity on their own publication.

11.2.4 Professional Competence

11.2.4.1 Researchers in CIT will undertake to participate only in work which they are competent to perform.

11.2.4.2 Researchers will demonstrate a continuing endeavour to keep abreast of developments in the relevant subjects and disciplines, including their methodologies.

11.2.5 Research Performance Indicators

11.2.5.1 Researchers will endeavour to conduct their work to the highest professional standards in their field. This includes, but is not limited to, striving to perform well in the traditional research performance indicators within their own field.

11.2.6 Continuing Development of Research Skills

11.2.6.1 Researchers will endeavour to continue to develop their research skills through further training, conferences and workshops, including training in emerging research methodologies and generic skills such as communications and working in teams.

11.2.6.2 CIT will endeavour to provide regular opportunities to researchers to develop their research skills.

11.2.7 Development of Professional Competence and Good Practice in New Researchers

11.2.7.1 CIT recognizes that new researchers face particular challenges as they become integrated into the research community. The responsibility to help new researchers understand and use the Code of Good Practice in Research lies with all members of the research community, but with a special focus on experienced researchers and senior staff.

11.2.7.2 The Institute bears the responsibility for ensuring that research students and new researchers receive support in developing good research practice through provision of regular training opportunities, including training on research ethics and methodologies.

- 11.2.7.3 Postgraduate students should be provided with excellent supervision, but they should not be put under undue pressure to act in any way which might contravene this Code of Good Practice.

11.2.8 Research Groups and Centre's

- 11.2.8.1 Individuals in authority set the tone for the culture and procedures within an organization, including setting out the conditions under which research is conducted according to good research practice.
- 11.2.8.2 Positive and fair leadership is to be ensured where research work is carried out in teams. Heads of Research Centre's and Research Group leaders have a responsibility to create an environment of mutual cooperation in which all group members are encouraged to develop their skills and in which the open exchange of ideas is fostered.
- 11.2.8.3 Furthermore, Heads of Research Centre's and Research Group leaders must also ensure that appropriate direction of research and supervision of researchers and research students is provided.

11.2.9 Support and Training for Research Supervisors

- 11.2.9.1 The research community in general, Research Centre's/Groups, and each Academic Department are committed to providing every possible support to research supervisors, such as to enable them to provide professional and efficient guidance and supervision to the researchers in their care.
- 11.2.9.2 New research supervisors should receive adequate formal training and any further supports necessary to enable them to supervise researchers to the highest professional standards. This should include, but not be limited to, a mentoring system for new research supervisors within a research area.

11.2.10 Making Complaints and Reporting Misconduct

- 11.2.10.1 Supervisors and senior research staff should be familiar with the Complaints Procedure contained in the *CIT Postgraduate Research Regulations*, and are responsible for ensuring that research students and new researchers are made aware of the Complaints Procedure.
- 11.2.10.2 Academic Departments and Research Centres/Groups are required to ensure that they provide a research environment in which researchers may lodge complaints or raise concerns with the relevant persons about instances of perceived research misconduct or malpractice without fear of detriment.
- 11.2.10.3 Academic Departments and Research Centres/Groups also need to ensure that those who, in good faith, lodge a complaint with regard to research practice, or allege the existence of research misconduct, will be treated fairly and without prejudice.

11.3 REVIEW OF THE CODE OF PRACTICE

- 11.3.1 Executive responsibility for maintaining and updating this Code of Good Practice in Research lies with the Head of Research in consultation with the Dean of Graduate of Studies and the Registrar's Office.
- 11.3.2 To assist the Head of Research with this task, the Code will be reviewed towards the end of each academic year by the CIT Research Ethics Committee.
- 11.3.3 Suggestions for revision or amendments to the Code should be submitted to the Head of Research. The suggestions will be reviewed by the Head of Research in consultation with the Registrar's Office, Dean of Graduate Studies, R&D Committee of the Academic Council and the CIT Research Ethics Committee and incorporated into the Code of Good Practice in Research as appropriate.
- 11.3.4 Any revisions or amendments of the Code of Good Practice in Research have to be agreed by Academic Council before coming into effect.
- 11.3.5 Revisions or amendments to the Code should be brought to Academic Council via the Research and Development Committee.

12. Procedures

N/A

13. Responsible Officer(s)

The responsibility for implementing the Code of Good Practice in Research lies with all academic staff and contract researchers. Executive responsibility for maintaining and updating this Code of Good Practice in Research lies with the Head of Research in consultation with the Dean of Graduate of Studies and the Registrar's Office.

14. Supporting Documents

Exemplar policies relating to good practice in research from Irish and International HEIs and agencies are listed in Appendix A.

A checklist which assists researchers in adhering to the code of good practice is included in Appendix B.

Appendix A – References

Cork Institute of Technology, *CIT Ethics Checklist and Policy*, May 2013

Cork Institute of Technology, *Code of Good Practice in Research*, 2005

Cork Institute of Technology, *Computer Systems Acceptable Usage Policy*, September 2009

Cork Institute of Technology, *Data Protection Policy*, April 2009

Cork Institute of Technology, *Policy on Intellectual Property*, July 2011

Cork Institute of Technology, *Postgraduate Regulations*, September 2013

Dublin City University (DCU), *Code of Good Research Practice*, March 2008

European University Institute, *Code of Ethics in Academic Research*, 2013

UK Research Integrity Office, *Code of Practice for Research – Promoting good practice and preventing misconduct*, September 2009

National-Policy-Statement-on-Ensuring-Research-Integrity-in-Ireland, 2014

Nolan Committee on Standards in Public Life, *First Report*, Summary, May 1995,
<http://www.public-standards.gov.uk>

The Vancouver Protocol,
[http://www.research.mq.edu.au/about/research @ macquarie/policies, procedures and conduct/documents/Vancouver.pdf](http://www.research.mq.edu.au/about/research@macquarie/policies_procedures_and_conduct/documents/Vancouver.pdf)

Universities UK, *The Concordat to support research integrity*, July 2012

Appendix B - CHECKLIST

This checklist is reproduced from the UKRIO Code of Practice for Research (2009)

Before you commence your research

- 1 Does the proposed research address pertinent question(s) and is it designed either to add to existing knowledge about the subject in question or to develop methods for research into it?
- 2 Is your research design appropriate for the question(s) being asked?
- 3 Will you have access to all necessary skills and resources to conduct the research?
- 4 Have you conducted a risk assessment to determine:
 - a) whether there are any ethical issues and whether ethics review is required;
 - b) the potential for risks to the organisation, the research, or the health, safety and well-being of researchers and research participants; and
 - c) what legal requirements govern the research?
- 5 Will your research comply with all legal and ethical requirements and other applicable guidelines, including those from other organisations and/or countries if relevant?
- 6 Will your research comply with all requirements of legislation and good practice relating to health and safety?
- 7 Has your research undergone any necessary ethics review (see 4(a) above), especially if it involves animals, human participants (including minors), human material or personal data?
- 8 Will your research comply with any monitoring and audit requirements?
- 9 Are you in compliance with any contracts and financial guidelines relating to the project?
- 10 Have you reached an agreement relating to intellectual property, publication and authorship?
- 11 Have you reached an agreement relating to collaborative working, if applicable?
- 12 Have you agreed the roles of researchers and responsibilities for management and supervision?

13 Have all conflicts of interest relating to your research been identified, declared and addressed?

14 Are you aware of the guidance from all applicable organisations on misconduct in research?

When conducting your research:

1 Are you following the agreed research design for the project?

2 Have any changes to the agreed research design been reviewed and approved if applicable?

3 Are you following best practice for the collection, storage and management of data?

4 Are agreed roles and responsibilities for management and supervision being fulfilled?

5 Is your research complying with any monitoring and audit requirements?

When finishing your research:

1 Will your research and its findings be reported accurately, honestly and within a reasonable time frame?

2 Will all contributions to the research be acknowledged?

3 Are agreements relating to intellectual property, publication and authorship being complied with?

4 Will research data be retained in a secure and accessible form and for the required duration?

5 Will your research comply with all legal, ethical and contractual requirements?