****

**Research integrity and good research practice – checklist for researchers and their supervisors at the University of Oxford**

# This checklist, structured in relation to different aspects of research integrity, is designed to assist supervisors and researchers not only to abide by the principles set out in the University’s [Academic Integrity in Research: Code of Practice and Procedure](https://hr.admin.ox.ac.uk/academic-integrity-in-research) but also to engage in a broader dialogue about research integrity and good practice in research.

# In working through this, supervisors can discuss:

# What research integrity means to them, to the University, to researchers and the community

# What the University requires of its staff and students

# Relevant `subject’ or `discipline’-specific codes

# Project-specific requirements (eg human ethics approvals, laboratory notebooks, overseas-based research etc.)

This checklist has been designed for use by supervisors and researchers at the start of a research project, for discussion periodically throughout the project and for review at least annually. It can also be used as a checklist for all involved in research who need to be aware of and abide by the principles of research integrity set out by the University, research funders, regulators, professional associations and the law.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Aspect of research integrity | Suggested action | | Resources / web links | | Comments (eg when discussed, completed or follow-up actions) |
| Introduction to good practice in research | At the start of the research, provide researcher with information about University resources available. | | [Research integrity leaflet](https://researchsupport.admin.ox.ac.uk/files/researchintegritywebpdf) (PDF) – an introduction to the responsible conduct of research  [Research Integrity core course](https://researchsupport.admin.ox.ac.uk/integrity-and-ethics-training#collapse409401) – an online introductory course. Research integrity training is compulsory for all University researchers  [Research practice](https://researchsupport.admin.ox.ac.uk/research-practice) - what you need to consider when planning, conducting and reporting your research | |  |
| University Academic Integrity in Research: Code of Practice and Procedure | Discuss the University’s code and what this means in practice for researchers. | | [University Code of Practice](https://hr.admin.ox.ac.uk/academic-integrity-in-research)  [Research integrity and ethics](https://researchsupport.admin.ox.ac.uk/governance/integrity/policy) – links to the University’s relevant policies, procedures and guidance | |  |
| Subject-specific and local policies/guidelines | Discuss any relevant discipline-specific, funder-specific (e.g. UKRI) or professional codes of conduct, particularly as they work in practice.  Provide researcher with any external funding terms and conditions.  Provide researcher with any faculty, departmental or divisional policy documents relating to the conduct of his/her research. | | [UKRI Policy and Guidelines on Governance of Good Research Conduct (PDF)](https://www.ukri.org/wp-content/uploads/2021/03/UKRI-050321-PolicyGuidelinesGovernanceOfGoodResearchConduct.pdf)  [UK Concordat to support research integrity (PDF)](https://www.universitiesuk.ac.uk/sites/default/files/field/downloads/2021-08/Updated%20FINAL-the-concordat-to-support-research-integrity.pdf)  [MRC, Good research practice: principles and guidelines](http://www.mrc.ac.uk/research/research-policy-ethics/good-research-practice/)  [Wellcome, Responsible conduct of research](https://wellcome.org/grant-funding/guidance/good-research-practice-guidelines)  [ESRC, Research Ethics](http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/) guidance | |  |
| Authorship | Discuss, in general, the requirements for a person to be listed as an author of a publication.  Discuss what the publication strategy will be for the project, including criteria for authorship.  Ensure that researcher is aware of the authorship practices within their own discipline and any guidelines set by the journals in which they hope to publish.  Discuss authorship throughout the project, especially prior to work being prepared or submitted for publication. Agree on authorship and attribution for each publication. | | [Publication and authorship](https://researchsupport.admin.ox.ac.uk/governance/integrity/publication) - University guidance  [Open Access at Oxford – guidance for researchers](http://openaccess.ox.ac.uk/)  [Plagiarism](http://www.ox.ac.uk/students/academic/guidance/skills/plagiarism) – what constitutes plagiarism and how to avoid unintentional plagiarism  [CRediT (Contributor roles taxonomy)](https://credit.niso.org/) – can help to define the roles typically played by contributors to research outputs | |  |
| Conflict of interest | | Discuss with the researcher the concept of `conflict of interest’ in research.  Provide researcher with copy of University’s policy and discuss how any potential conflicts associated with their research might be declared and managed. | [University guidance on conflict of interest](https://researchsupport.admin.ox.ac.uk/integrity/conflict)  [University Policy on Conflict of Interest](https://researchsupport.admin.ox.ac.uk/governance/integrity/conflict/policy)  [Online introductory training: conflicts of interest](https://researchsupport.admin.ox.ac.uk/governance/integrity/conflict/policy) – see right hand side |  | |
| Ethical and legal requirements | |  |  |  | |
| Research involving animals | | If the research will use animals, discuss the University’s procedures for ethics review. | [Introduction to animal research at the University](http://www.ox.ac.uk/news-and-events/animal-research/research-using-animals-an-overview)  [Policy on the Use of Animals in Scientific Research](http://www.ox.ac.uk/news-and-events/animal-research/university-policy-on-the-use-of-animals-in-scientific-research)  Ethics review process - [Biomedical Services](https://www.medsci.ox.ac.uk/divisional-services/support-services-1/biomedical-services)  [Online introductory training: care and use of animals in research](https://skills.it.ox.ac.uk/research-support-training) |  | |
| Research involving human participants or personal data | | If the research involves human participants or personal data or materials, discuss the University’s procedures for ethics review. | [Research Ethics policy](http://researchsupport.admin.ox.ac.uk/governance/ethics/committees/policy) [Research ethics and human participants – an introduction leaflet](https://researchsupport.admin.ox.ac.uk/files/researchethicswebpdf)  [Process for seeking ethics review of such research](https://researchsupport.admin.ox.ac.uk/governance/ethics/apply)  [Clinical Trials and Research Governance](https://researchsupport.admin.ox.ac.uk/ctrg)  [Online introductory training: research involving human participants](https://researchsupport.admin.ox.ac.uk/integrity-and-ethics-training) |  | |
| Licences and permissions | | Discuss whether any licences and permissions are required before the research project commences (including any relevant training which might be necessary):   * Import or export licences for materials * Licences to use certain materials * Agreements necessary to use materials, for example through a material transfer agreement (MTA) * Permissions from communities or government agencies   NB. This should include projects involving fieldwork overseas. | [Material transfer agreements](https://researchsupport.admin.ox.ac.uk/contracts)  [Nagoya Protocol guidance](https://researchsupport.admin.ox.ac.uk/policy/legislation/nagoya)  [Export control guidance](https://researchsupport.admin.ox.ac.uk/policy/legislation/export)  [Online introductory training: export controls](https://researchsupport.admin.ox.ac.uk/support/training/ethics#collapse409401) |  | |
| Research data and records management | | Plan for how research data and records generated will be collected, stored, and managed.  Consider the following general areas:   * Where these will be stored and how they will be identified * How to keep data and records secure and protected from damage/destruction * Accessibility * Confidentiality/privacy issues, including Data Protection Act requirements * Archival/long-term value.   Other areas may specifically apply:   * If the research is externally-funded, are there terms and conditions relating to how data is collected and stored? * Laboratory notebooks * Research involving human participants (incl. consent forms, questionnaires). | [Research Data Management](http://researchdata.ox.ac.uk/)  [Research data management policy](https://researchdata.ox.ac.uk/university-oxford-data-management-policy)  [Research funder requirements](http://researchdata.ox.ac.uk/funder-requirements/)  [University policy on data protection](https://compliance.admin.ox.ac.uk/handling-personal-data)  [Information Security](https://infosec.ox.ac.uk/guidance-policy) – guidance and policy |  | |
| Intellectual property | | Discuss what intellectual property (IP) may be generated in the course of the project.  How this can be protected/exploited. | [Intellectual property (IP)](https://researchsupport.admin.ox.ac.uk/innovation/intellectual-property)  [Oxford University Innovation - Information for Oxford Researchers](http://innovation.ox.ac.uk/university-members/)  [Online introductory training: intellectual property](https://researchsupport.admin.ox.ac.uk/innovation/intellectual-property)  (right hand side) |  | |
| Health and Safety | | Ensure the researcher has completed a local health and safety induction and is aware of:  - who the relevant health and safety representatives are  - Emergency procedures, particularly fire, first aid and incident reporting  - Supervisory arrangements, particularly for out of hours or lone working.  - Safeguarding Code of Practice  Discuss health and safety issues specific to the research, eg. laboratory safety, fieldwork, overseas travel etc. Ensure risk assessments covering the hazards they are likely to encounter are discussed or completed. | [Supervisors’ Responsibilities](https://safety.admin.ox.ac.uk/supervisor-responsibilities)  [Health and safety training](https://safety.admin.ox.ac.uk/training-a-z)  [Safeguarding ‘at risk’ adults and children](https://hr.admin.ox.ac.uk/safeguarding-at-risk-adults-and-children)  [Fieldwork guidance (Social Sciences Division)](https://www.socsci.ox.ac.uk/fieldwork) |  | |
| Advice and concerns about research conduct | | Discuss where advice may be sought and the procedures for dealing with queries, concerns or complaints about the research. | [Research misconduct](https://researchsupport.admin.ox.ac.uk/governance/integrity/misconduct)  - University guidance |  | |
| Skills training and professional development | | Discuss any further training needs related to the research and professional development more generally. | [Researcher Hub](https://www.ox.ac.uk/research/support-researchers/researcher-hub) – gateway to services available |  | |
| Supervisory meetings | | Discuss how regularly to meet and set up meetings. |  |  | |
| Mentoring | | Discuss whether working with a mentor would be useful | [Mentoring – Oxford People and Organisational Development](https://pod.admin.ox.ac.uk/mentoring) |  | |

Updated: May 2023