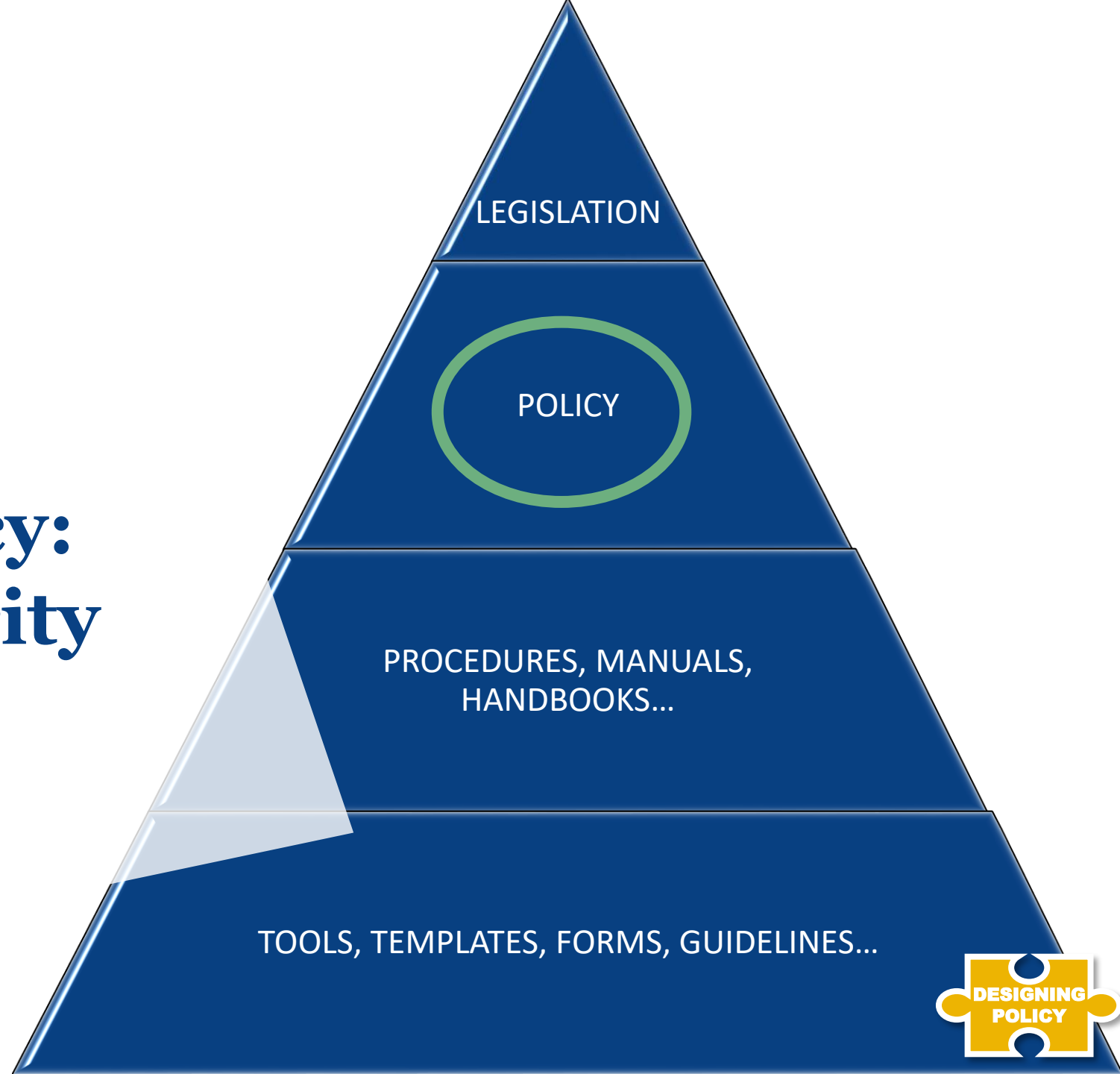




Designing Institutional Policy: A Research Integrity Perspective

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Institutional Challenge set in the Code & Guide



Principles:

- 2: RIGOUR...
- 3: TRANSPARENCY...
- 7: ACCOUNTABILITY...

Responsibilities:

- 4: provide training & education RCR
- 5: appropriately skilled Supervisors/trainees
- 8: access to facilities

& support researchers with

- 22: retain clear, accurate, secure and complete records.



POLICY:

- ownership, stewardship and control (whole lifecycle, movement & held across borders)
- storage, retention and disposal
- safety, security and confidentiality
- access by interested parties

PROCESSES to support policy & responsibilities



TRAINING to promote and support:

- responsible research conduct
- following data management policies



FACILITIES provided/approved storage



Implementation Challenges for Universities



Image from: <https://www.johanfourie.com/2018/06/19/one-policy-to-rule-them-all/>

Large scale & comprehensive:

- Diverse discipline specificity
- Different understanding of 'data'

Wide range of research undertaken:

- artistic compositions to digital giants
- Student projects to multi-year/multi-institutional behemoths

% of research workforce is transient:

- Between institutions (intra/interstate, international)
- Between academia and other employment (~33% of PhDs move into academia across the sector)

Overlap/shared responsibilities:

- between services e.g. Scholarly Services (Library), IT, Research Integrity, Faculty/Department staff, Facility staff, project staff, Chancellery, etc.
- Multitude of Legal and ethical obligations

Cultural Change

- Making it natural

Characteristics of “Good Policy”

1. ENDORSED – support from the top
2. KNOWN AND UNDERSTOOD – accessible and often referenced
3. JOINED UP- built around shared goals and values
4. RELEVANT- WIFM factor
5. REALISTIC/REASONABLE- not just ideals
6. STABLE & ADAPTABLE
7. INCLUSIVE- right scope
8. ENFORCABLE – just, fair, equitable



Image from: <https://www.alert-software.com/blog/company-policies-effective-communication>

It's an Iterative Process

Requirements:	2011	2013	2020-1 [^]
Clear, accurate, complete (authentic/reliable) data	Y	Y	Y
Secure (physical/digital storage)	Y	Y	Y
Ownership, stewardship, control	Y	Y	Y
RDMPs	Y	Y	Y
Confidentiality	Y	Y	Y
Legal & ethical compliance	Y	Y	Y
Institutional Responsibilities	Y	Y	Y
# overlapping policies/legislation etc.	17	17	~22
Processes	R/D	R/D	I/R
# definitions	10*	10*	15
Report breaches of confidentiality	Y	Y	Y
Length	~2,100	~2,200	~2,100
Access by interested parties	N	N	Y

[^]Under consultation

R= Researcher; D=Department; I= Institution

* Includes definition of Head of Department, Student and Researcher

2013 definition:

Research data

Data are facts, observations or experiences on which an argument, theory or test is based. Data may be numerical, descriptive or visual. Data may be raw or analysed, experimental or observational. Data includes: laboratory notebooks; field notebooks; primary research data (including research data in hardcopy or in computer readable form); questionnaires; audiotapes; videotapes; models; photographs; films; test responses. Research collections may include slides; artefacts; specimens; samples. Provenance information about the data might also be included: the how, when, where it was collected and with what (for example, instrument). The software code used to generate, annotate or analyse the data may also be included.

In the creative arts, data includes the creative artefacts of human expression that have emerged via text, visual arts, performing arts and music where both the expressive artefact and the process of creating that artefact are the objects of investigation. Data can be ephemeral and multifaceted and should therefore be thought of as the shifting and constantly re-evaluated set of emergent possibilities, materialities and ideas that find embodiment in the final artwork. For this mode of research, a durable record of the response to the data should be maintained, for example, as a visual diary, recording or journal (see research records).