



**Asia-Pacific  
Economic Cooperation**

# **APEC Guiding Principles for Research Integrity**

**Human Resources Development  
Working Group**



# APEC Guiding Principles for Research Integrity

APEC Human Resources Development Working Group

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Produced by  
Daniel P. Barr and Paul M. Taylor, RMIT University  
GPO Box 2476  
Melbourne VIC 3000  
Australia

For  
Asia-Pacific Economic Cooperation Secretariat  
35 Heng Mui Keng Terrace  
Singapore 119616  
Tel +65 6891 9600  
Email: [infor@apec.org](mailto:infor@apec.org)  
Website: [www.apec.org](http://www.apec.org)

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The document must be attributed as the APEC Guiding Principles for Research Integrity.

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## Introduction

Research generates and organises knowledge by the systematic investigation and study of materials and sources. The value and positive impact of research is dependent on trust. Upholding the principles of research integrity makes research trustworthy.

The Asia-Pacific Economic Cooperation (APEC) is an economic forum comprised of 21 member economies. There are cultural differences across APEC economies and varying approaches towards undertaking research in each of these economies. Research is increasingly an international activity, with collaborative exchanges becoming more commonplace. Research practices that prioritise integrity are essential as these activities expand on a global scale. The absence of a shared set of principles for research integrity is seen as a barrier to increased researcher mobility and collaboration between researchers in APEC economies.

The *APEC Guiding Principles for Research Integrity* provide guiding principles and responsibilities shared by researchers, institutions, and funders or sponsors of research in APEC economies. The *APEC Guiding Principles for Research Integrity* are non-binding and may be adopted, endorsed or adapted by researchers, institutions, funders, sponsors and others involved in the research endeavour to guide trustworthy and responsible research. The *APEC Guiding Principles for Research Integrity* are intended to provide a common language of what is meant by research integrity within APEC economies. The *APEC Guiding Principles for Research Integrity* are also intended to enable greater mobility and exchange of research and researchers between APEC economies.

The *APEC Guiding Principles for Research Integrity* were produced by Dr Daniel Barr and Dr Paul Taylor of RMIT University, Australia with significant contributions made by colleagues and participants from across the APEC economies. A desktop review of the research integrity systems across APEC economies was conducted as well as a series of face-to-face consultations with representatives from the research integrity systems of selected APEC economies including Chile, Peru, Viet Nam, Indonesia and Malaysia. A modified Delphi process of iteration with experts from across APEC economies that comprised two online surveys and a face-to-face workshop was undertaken to generate a near to consensus set of guiding principles and responsibilities for research integrity. This process included defining, selecting and ranking the principles and responsibilities that were seen to be the most important for trustworthy and responsible research.

The development of the *APEC Guiding Principles for Research Integrity* was sponsored by the Australian Government Department of Education, Skills and Employment and was approved by the RMIT University human research ethics committee (Approval 21609-08/18).



## Guiding Principles for Research Integrity

The guiding principles underpin all aspects of the trustworthy and responsible conduct and administration of research.

### Guiding Principle 1. Honesty

- Being truthful and free of deceit

### Guiding Principle 2. Responsibility

- Fulfilling the duties and obligations for trustworthy and responsible research
- Being accountable for actions or decisions
- Complying with relevant laws, regulations and standards

### Guiding Principle 3. Rigour

- Being careful, thorough and critical

### Guiding Principle 4. Transparency

- Being open and sharing of ideas, processes, methods, data, findings and outcomes
- Demonstrating a willingness for work to be scrutinised
- Disclosing and managing conflicts of interest

### Guiding Principle 5. Respect

- Demonstrating due regard for the research endeavour, for the values, cultures, opinions and rights of others, for animals and the environment

### Guiding Principle 6. Fairness

- Behaving and treating others impartially and justly without favouritism or bias
- Acknowledging the work of others

### Guiding Principle 7. Diversity

- Recognising and being inclusive of diverse peoples, cultures, knowledges, perspectives and experiences



## **Meeting the Guiding Principles for Research Integrity**

The guiding principles form the basis for responsibilities in the conduct and administration of research.

Researchers, institutions and funders or sponsors of research share responsibilities to:

- RS1 Adhere to the guiding principles for research integrity**
- RS2 Reflect on how the guiding principles apply in their work for the research endeavour**
- RS3 Support a culture of trustworthy and responsible research**



## Guiding Principle 1. Honesty

Honesty in research conduct and administration means being truthful and free of deceit

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

- RR1 Avoid and report suspected breaches of research integrity that undermine the trustworthiness of research
- RR2 Pay attention to detail and use robust methodology appropriate to the aims of the research, avoiding or acknowledging biases, and ensuring that conclusions are justified by the results or arguments
- RR3 Make and keep clear, accurate, secure and complete records including data, methodologies, findings and primary materials in ways that will allow verification and replication of work by others. Where possible and appropriate, share these openly and allow access and reference to these by interested parties
- RR4 Comply with the relevant laws, regulations, disciplinary standards, ethics and security guidelines and institutional policies related to research integrity
- RR9 Identify, disclose, carefully examine and manage financial, familial, scholarly, professional and other interests that may be a perceived, potential or actual conflict of interest

For reporting and communicating research with integrity, researchers will:

- RR13 Communicate research information, methodology, data and findings truthfully, responsibly, accurately and transparently as possible in proposing, conducting and reporting research
- RR14 Ensure that authors include all those, and only those, who have made and are accountable for a significant intellectual or scholarly contribution to the research, and that they agree to be listed as an author
- RR15 Give credit and acknowledgement to all contributors and contributions to research
- RR16 Cite other relevant work appropriately and accurately and, where applicable, obtain permission for the use of other works



## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- RI1 Provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- RI2 Make best efforts to cooperate with journals, publishers, government agencies, funders, sponsors, and other relevant parties in response to complaints about potential breaches of research integrity

## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF1 Incorporate trustworthy and responsible research as a condition for obtaining and maintaining funding by researchers and institutions, and provide guidance as to the specific measures that are required
- RF2 Require institutions to have procedurally fair mechanisms in place to respond to potential breaches of research integrity





## Guiding Principle 2. Responsibility

Responsibility in research conduct and administration means:

- Fulfilling the duties and obligations for trustworthy and responsible research
- Being accountable for actions or decisions
- Complying with relevant laws, regulations and standards

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

- RR1 Avoid and report suspected breaches of research integrity that undermine the trustworthiness of research
- RR4 Comply with the relevant laws, regulations, disciplinary standards, ethics and security guidelines and institutional policies related to research integrity
- RR5 Consider the consequences and outcomes of research
- RR6 Provide sound guidance and mentorship on research integrity to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct
- RR7 Exercise careful and responsible management of resources
- RR9 Identify, disclose, carefully examine and manage financial, familial, scholarly, professional and other interests that may be a perceived, potential or actual conflict of interest

For reporting and communicating research with integrity, researchers will:

- RR13 Communicate research information, methodology, data and findings truthfully, responsibly, accurately and transparently as possible in proposing, conducting and reporting research
- RR17 Be accountable for contributions to publications, research proposals, reports and other works



## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- RI1 Provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- RI2 Cooperate with journals, publishers, government agencies, funders, sponsors, and other relevant parties in response to complaints about potential breaches of research integrity
- RI3 Comply with relevant laws, regulations, sponsor and security requirements, guidelines and policies related to research integrity
- RI4 Establish and maintain sound governance and management practices for trustworthy and responsible research
- RI5 Provide and oversee ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles
- RI6 Ensure mentors and supervisors of research trainees and student researchers have the appropriate skills, qualifications and resources
- RI7 Ensure researchers receive appropriate recognition or acknowledgement for trustworthy and responsible research practices including supervision and mentorship
- RI8 Provide appropriate and accessible resources and facilities to enable researchers to conduct trustworthy and responsible research
- RI9 Provide frameworks that support researchers in the disclosure and management of interests
- RI10 Establish, make available and use procedurally fair mechanisms to manage, investigate and resolve complaints about potential breaches of research integrity



## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF1 Incorporate trustworthy and responsible research as a condition for obtaining and maintaining funding by researchers and institutions, and provide guidance as to the specific measures that are required
- RF2 Require institutions to have procedurally fair mechanisms in place to respond to potential breaches of research integrity
- RF3 Support and promote openness and transparency in all aspects of research
- RF4 Publish policies, procedures and other guidance to promote research integrity and to ensure potential breaches of research integrity are addressed by institutions or other relevant authorities
- RF5 Require institutions to provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- RF6 Require institutions to develop and implement policies and systems to promote integrity in all aspects of the research enterprise
- RF7 Provide support to researchers and institutions at a level sufficient to ensure that trustworthy and responsible research can be undertaken
- RF8 Work cooperatively with others in the research endeavour to support and facilitate research integrity worldwide



## Guiding Principle 3. Rigour

Rigour in research conduct and administration means being careful, thorough and critical

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

- RR2 Pay attention to detail and use robust methodology appropriate to the aims of the research, avoiding or acknowledging biases, and ensuring that conclusions are justified by the results or arguments
- RR3 Make and keep clear, accurate, secure and complete records including data, methodologies, findings and primary materials in ways that will allow verification and replication of work by others. Where possible and appropriate, share these openly and allow access and reference to these by interested parties
- RR5 Consider the consequences and outcomes of research
- RR7 Exercise careful and responsible management of resources
- RR8 Ensure that appropriate approvals are obtained prior to the commencement of research, and that conditions of any approvals are followed during the course of research
- RR9 Identify, disclose, carefully examine and manage financial, familial, scholarly, professional and other interests that may be a perceived, potential or actual conflict of interest
- RR10 Give fair, prompt and rigorous evaluations, and respect confidentiality when participating in peer review

For reporting and communicating research with integrity, researchers will:

- RR13 Communicate research information, methodology, data and findings truthfully, responsibly, accurately and transparently as possible in proposing, conducting and reporting research
- RR16 Cite other relevant work appropriately and accurately and, where applicable, obtain permission for the use of other works



## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- RI3 Comply with relevant laws, regulations, sponsor and security requirements, guidelines and policies related to research integrity
- RI4 Establish and maintain sound governance and management practices for trustworthy and responsible research
- RI8 Provide appropriate and accessible resources and facilities to enable researchers to conduct trustworthy and responsible research
- RI9 Provide frameworks that support researchers in the disclosure and management of interests

## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF2 Require institutions to have procedurally fair mechanisms in place to respond to potential breaches of research integrity
- RF4 Publish policies, procedures and other guidance to promote research integrity and to ensure potential breaches of research integrity are addressed by institutions or other relevant authorities
- RF6 Require institutions to develop and implement policies and systems to promote integrity in all aspects of the research enterprise



## Guiding Principle 4. Transparency

Transparency in research conduct and administration means:

- Being open and sharing of ideas, processes, methods, data, findings and outcomes
- Demonstrating a willingness for work to be scrutinised
- Disclosing and managing conflicts of interest

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

- RR1 Avoid and report suspected breaches of research integrity that undermine the trustworthiness of research
- RR3 Make and keep clear, accurate, secure and complete records including data, methodologies, findings and primary materials in ways that will allow verification and replication of work by others. Where possible and appropriate, share these openly and allow access and reference to these by interested parties
- RR9 Identify, disclose, carefully examine and manage financial, familial, scholarly, professional and other interests that may be a perceived, potential or actual conflict of interest

For reporting and communicating research with integrity, researchers will:

- RR13 Communicate research information, methodology, data and findings truthfully, responsibly, accurately and transparently as possible in proposing, conducting and reporting research



## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- R11 Provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- R12 Make best efforts to cooperate with journals, publishers, government agencies, funders, sponsors, and other relevant parties in response to complaints about potential breaches of research integrity
- R18 Provide appropriate and accessible resources and facilities to enable researchers to conduct trustworthy and responsible research
- R19 Provide frameworks that support researchers in the disclosure and management of interests

## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF3 Support and promote openness and transparency in all aspects of research\*

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\* Classified and commercially sensitive information may be treated as confidential and not disclosed



## Guiding Principle 5. Respect

Respect in research conduct and administration means demonstrating due regard for the research endeavour, for the values, cultures, opinions and rights of others, for animals and the environment.

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

- RR5 Consider the consequences and outcomes of research
- RR8 Ensure that appropriate approvals are obtained prior to the commencement of research, and that conditions of any approvals are followed during the course of research
- RR10 Give fair, prompt and rigorous evaluations, and respect confidentiality when participating in peer review
- RR11 Demonstrate respect for research participants, the wider community, animals used in research and the environment

For reporting and communicating research with integrity, researchers will:

- RR14 Ensure that authors include all those, and only those, who have made and are accountable for a significant intellectual or scholarly contribution to the research, and that they agree to be listed as an author
- RR15 Give credit and acknowledgement to all contributors and contributions to research
- RR16 Cite other relevant work appropriately and accurately and, where applicable, obtain permission for the use of other works





## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- RI1 Provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- RI3 Comply with relevant laws, regulations, sponsor and security requirements, guidelines and policies related to research integrity
- RI4 Establish and maintain sound governance and management practices for trustworthy and responsible research

## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF7 Provide support to researchers and institutions at a level sufficient to ensure that trustworthy and responsible research can be undertaken
- RF8 Work cooperatively with others in the research endeavour to support and facilitate research integrity worldwide



## Guiding Principle 6. Fairness

Fairness in research conduct and administration means:

- Behaving and treating others impartially and justly without favouritism or bias
- Acknowledging the work of others

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

RR6 Provide sound guidance and mentorship on research integrity to other researchers or research trainees under their supervision and, where appropriate, monitor their conduct

RR10 Give fair, prompt and rigorous evaluations, and respect confidentiality when participating in peer review

For reporting and communicating research with integrity, researchers will:

RR14 Ensure that authors include all those, and only those, who have made and are accountable for a significant intellectual or scholarly contribution to the research, and that they agree to be listed as an author

RR15 Give credit and acknowledgement to all contributors and contributions to research

RR16 Cite other relevant work appropriately and accurately and, where applicable, obtain permission for the use of other works



## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- RI4 Establish and maintain sound governance and management practices for trustworthy and responsible research
- RI6 Ensure mentors and supervisors of research trainees and student researchers have the appropriate skills, qualifications and resources
- RI7 Ensure researchers receive appropriate recognition or acknowledgement for trustworthy and responsible research practices including supervision and mentorship
- RI10 Establish, make available and use procedurally fair mechanisms to manage, investigate and resolve complaints about potential breaches of research integrity

## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF2 Require institutions to have procedurally fair mechanisms in place to respond to potential breaches of research integrity
- RF4 Publish policies, procedures and other guidance to promote research integrity and to ensure potential breaches of research integrity are addressed by institutions or other relevant authorities
- RF7 Provide support to researchers and institutions at a level sufficient to ensure that trustworthy and responsible research can be undertaken
- RF8 Work cooperatively with others in the research endeavour to support and facilitate research integrity worldwide



## Guiding Principle 7. Diversity

Diversity in research conduct and administration means recognising and being inclusive of diverse peoples, cultures, knowledges, perspectives and experiences

### Responsibilities of Researchers

For planning and conducting research with integrity, researchers will:

- RR2 Pay attention to detail and use robust methodology appropriate to the aims of the research, avoiding or acknowledging biases, and ensuring that conclusions are justified by the results or arguments
- RR5 Consider the consequences and outcomes of research
- RR10 Give fair, prompt and rigorous evaluations, and respect confidentiality when participating in peer review
- RR11 Demonstrate respect for research participants, the wider community, animals used in research and the environment
- RR12 Recognise and respect the diversity, rights, cultures and traditional knowledges of Indigenous and First Peoples

For reporting and communicating research with integrity, researchers will:

- RR13 Communicate research information, methodology, data and findings truthfully, responsibly, accurately and transparently as possible in proposing, conducting and reporting research
- RR14 Ensure that authors include all those, and only those, who have made and are accountable for a significant intellectual or scholarly contribution to the research, and that they agree to be listed as an author
- RR15 Give credit and acknowledgement to all contributors and contributions to research
- RR16 Cite other relevant work appropriately and accurately and, where applicable, obtain permission for the use of other works



## Responsibilities of Institutions

For trustworthy and responsible research, institutions will:

- RI1 Provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- RI4 Establish and maintain sound governance and management practices for trustworthy and responsible research
- RI5 Provide and oversee ongoing training and education that promotes and supports responsible research conduct for all researchers and those in other relevant roles
- RI6 Ensure mentors and supervisors of research trainees and student researchers have the appropriate skills, qualifications and resources
- RI7 Ensure researchers receive appropriate recognition or acknowledgement for trustworthy and responsible research practices including supervision and mentorship

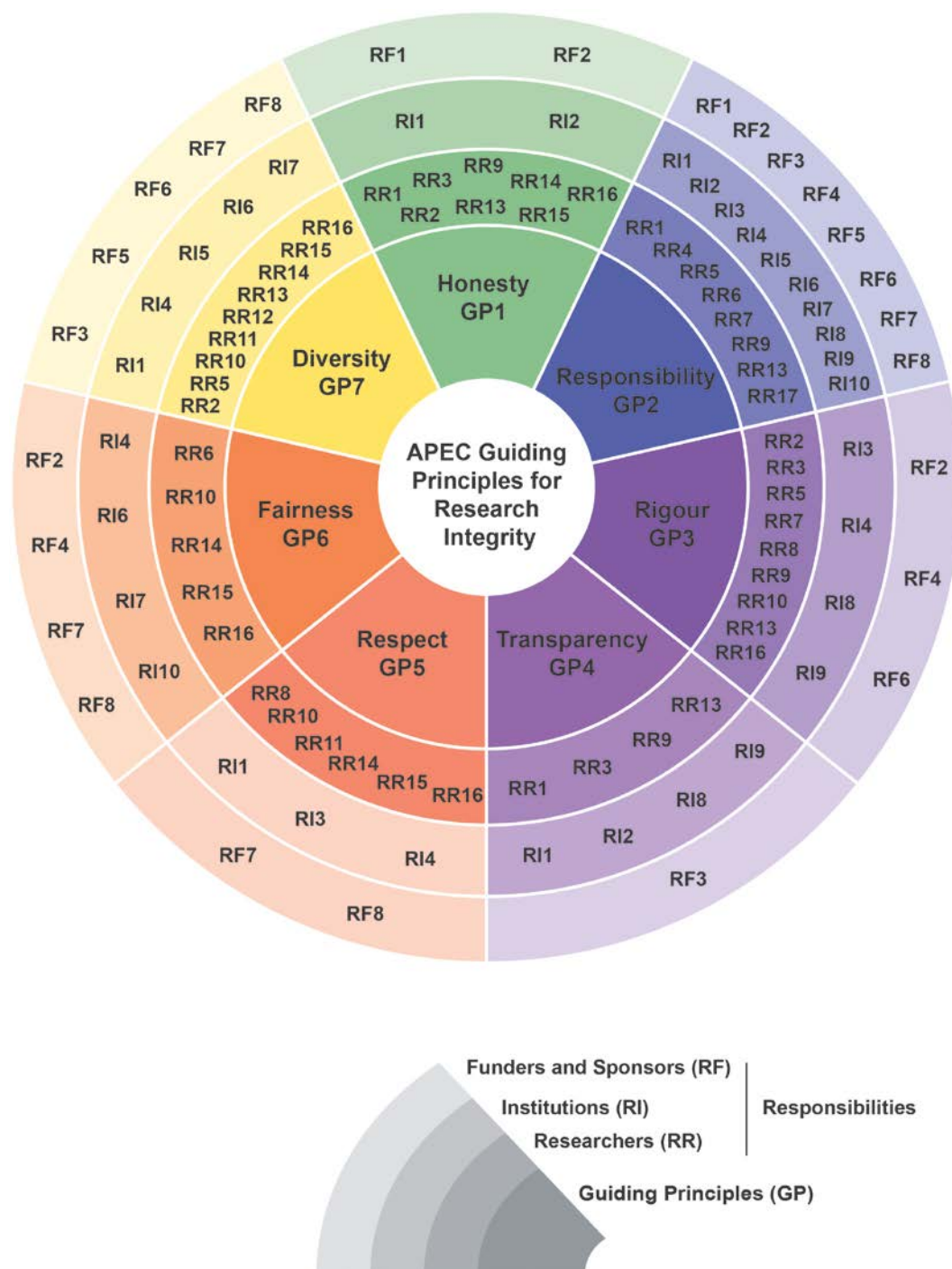
## Responsibilities of Funders or Sponsors of Research

For trustworthy and responsible research, funders or sponsors of research will:

- RF3 Support and promote openness and transparency in all aspects of research
- RF5 Require institutions to provide and foster an environment of research integrity that ensures trustworthy and responsible research and public trust
- RF6 Require institutions to develop and implement policies and systems to promote integrity in all aspects of the research enterprise
- RF7 Provide support to researchers and institutions at a level sufficient to ensure that trustworthy and responsible research can be undertaken
- RF8 Work cooperatively with others in the research endeavour to support and facilitate research integrity worldwide

## Research Integrity Colour Wheel

This diagram illustrates how the APEC Guiding Principles for Research Integrity form specific responsibilities of researchers, institutions and funders or sponsors of research. Many responsibilities overlap across multiple guiding principles. This suggests that responsible and trustworthy conduct and administration of research is complex.



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Title and Name	Position	APEC Member Economy
Dr Daniel Barr (Chair)	Principal Research Integrity Advisor, RMIT University	Australia
Ms Jillian Barr	Director, Ethics and Integrity, Research Quality and Priorities Branch, National Health and Medical Research Council	Australia
Dr Mabel Buelna Chontal	Researcher in Medical Sciences, National Institute of Cardiology Ignacio Chávez	Mexico
Dr De-Ming Chau	Senior Lecturer, Universiti Putra Malaysia	Malaysia
Dr Le Van Chinh	Government Official, Department of Social, Human and Natural Sciences, Ministry of Science and Technology	Viet Nam
Prof James Ellis	Senior Scientist, Developmental & Stem Cell Biology, Research Integrity Advisor, Hospital for Sick Children	Canada
Ms Kylie Emery	Branch Manager, Policy and Strategy, Australian Research Council	Australia
Prof In Jae Lee	Professor, Seoul National University of Education and Center for Research Ethics	Republic of Korea
Prof Dr Sergio Litewka	Associate Professor of Surgery, Director of International Initiatives, Institute for Bioethics and Health Policy, University of Miami	The United States
Dr Matsuzawa, Takaaki	Senior Research and Development Policy Analyst, Research and Development Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)	Japan
Mr Tony Mayer	Research Integrity Adviser, President's Office, Nanyang Technological University	Singapore
Dr Miyake, Masato	Director and Associate Professor, Nara Institute of Science and Technology (NAIST), Japan	Japan
Dr Miyokawa, Norifumi	Senior University Administration, Hiroshima University	Japan
Dr Sirikan Nawapan	Senior Research Project Analyst, National Science and Technology Development Agency	Thailand
Dr Jeffrey Nora	Director, Policy, Papua New Guinea Science and Technology Secretariat	Papua New Guinea

Dr Nouchi, Rei	Research Associate, Shinshu University & Senior Researcher, Association for the Promotion of Research Integrity (APRIN)	Japan
Dr Rintis Noviyanti	Unit Head, Senior Research Fellow, Principal Investigator, Eijkman Institute for Molecular Biology	Indonesia
Prof Dr Raha binti Haji Abdul Rahim	Director, Ministry of Education	Malaysia
Dr Cynthia Ann Sanborn	Vice President for Research, Universidad del Pacifico	Peru
Dr Bambang Setiadi	Chairman, National Research Council of Indonesia	Indonesia
Mr Shi, Xiaoyong	Deputy Director, National Center for Science and Technology Evaluation, Ministry of Science and Technology	People's Republic of China
Prof Tang, Li	Professor, Public Policy, School of International Relations and Public Affairs, Fudan University	People's Republic of China
Dr Boosaree Titapiwatanakun	Office of Research Services, Faculty of Tropical Medicine, Mahidol University	Thailand
Dr Tsukamoto, Keiji	Director, Office for Research Integrity Promotion, Science and Technology Policy Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)	Japan
Dr Yoda, Tatsuro	Senior Principal Analyst, Institute for Future Engineering	Japan
Mr Esteban Andres Zapata Espinoza	Coordinator of VIU Program, Comisión Nacional de Investigación Científica y Tecnológica (CONICYT)	Chile





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- The “Research Integrity Colour Wheel: APEC Guiding Principles and Responsibilities” herein is based on material provided by the Australian Research Council and the National Health and Medical Research Council of the Australian Government. Reprinted with permission from the publisher.
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## Dedication

The *APEC Guiding Principles for Research Integrity* are dedicated to Dr Paul Taylor (1973 – 2018). Dr Taylor was the Lead Investigator of the research project that underpins the *APEC Guiding Principles for Research Integrity* who sadly passed away before its completion. Dr Taylor was instrumental in the conception and design of the *APEC Guiding Principles for Research Integrity*. He was excited by how the *APEC Guiding Principles for Research Integrity* would support trustworthy research and strengthen collaborations. Dr Taylor was a thoughtful and inspiring leader in the field of research integrity and a dear friend to many.



A collection of photos of Dr Paul Taylor at the 5<sup>th</sup> World Conference on Research Integrity held in 2017 in Amsterdam, The Netherlands. *Presented with permission from the Taylor family.*

