



UNSW RESEARCH CODE OF CONDUCT

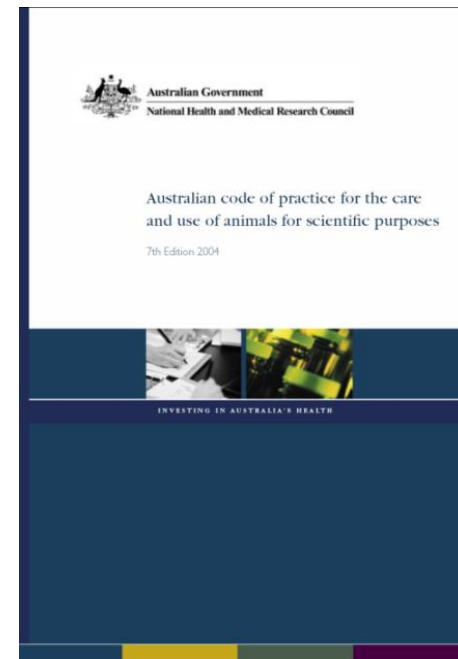
Professor Les Field
Deputy Vice-Chancellor (Research)

2009



OVERVIEW

- UNSW Research Code of Conduct & related Procedures
 - Approved by UNSW Council on 27 April 2009
 - Effective immediately
 - Consistent with the National Codes





OVERVIEW

○ UNSW Research Code of Conduct

- Researchers must conduct their activities in an ethical & professional manner
- ***Procedure for Authorship & for Resolving Disputes Between Authors***
 - Criteria for authorship, & how disputes between authors should be handled
- ***Procedure for Handling Research Material & Data***
 - The procedures around record keeping & the requirement to retain & store research data & materials
- ***Procedure for Handling Allegations of Research Misconduct***
 - Principles & processes for making an allegation of Research Misconduct & how an allegation will be handled at UNSW





OVERVIEW

- Applies to any person undertaking research at UNSW including
 - Teaching & Research Staff
 - Research Only Staff
 - Professional & Technical Staff
 - Research Students
 - Postdoctoral research staff
 - Visiting academics
 - Conjoint appointees
 - Casual staff





ADVISORS IN RESEARCH INTEGRITY

- The Deputy Vice-Chancellor (Research) has appointed “**Advisors in Research Integrity**”
- Advisors in Research Integrity are
 - Committed to high standards of professional conduct
 - Familiar with the relevant Codes & Procedures relating to Research Integrity for their discipline
 - Available to offer confidential advice & clarification on matters related to the new Research Code of Conduct

Laura Poole-Warren (Engineering)	Mark Hoffman (<i>Science</i>)	Joseph Lai (ADFA)
John Piggott (<i>ASB</i>)	Paul Patton (<i>FASS</i>)	Jill Bennett (<i>COFA</i>)
Denis Wakefield (Medicine)	Kathy Bowrey (<i>Law</i>)	Martin Loosemore (FBE)





RESEARCH ETHICS & OTHER APPROVALS

- Research Ethics
 - Research involving humans or animals **MUST** have ethics approval **PRIOR** to undertaking research
 - Retrospective approval **WILL NOT** be provided
- Research involving Aboriginal & Torres Strait Islander peoples **MUST** be done in accordance with the
 - *Guidelines for Ethical Conduct in Aboriginal & Torres Strait Islander Health Research*
 - *Guidelines for Ethical Research in Indigenous Studies*
- UNSW takes a “**Zero tolerance**” approach to research conducted without the required approvals





RESEARCH ETHICS & OTHER APPROVALS

- Other approvals
 - Some types of research can only be conducted subject to specific approvals, permits & licences from external bodies
 - National Parks
 - Australian Quarantine Inspection Service (AQIS)
 - Customs
 - Waterways
 - *etc*



Australian Government

Great Barrier Reef
Marine Park Authority





MANAGEMENT OF RESEARCH DATA & MATERIAL

- Keep full, accurate, durable & legible records of research methods, data & primary materials
- Data **MUST** be recorded in a protected, durable & appropriately-referenced form
 - Researchers **MUST** maintain a catalogue of all research data in an accessible form
- Adequate records of the source of research material, experimental data & authorship **MUST** be maintained
 - Secure location after publication
 - Data related to research publications **MUST** be available for discussion with other researchers





MANAGEMENT OF RESEARCH DATA & MATERIAL

- Original data & materials should be retained in the School or Centre where they were generated
 - Head of School **MUST** be formally advised of the location
 - Some specimens may be retained in research repositories
 - UNSW Herbarium or specified Museum etc
- Research data & materials remain the property of UNSW
 - Where a UNSW researcher moves, original data stays at UNSW
 - Where research is carried out at multiple institutions, there **MUST** be a written agreement covering ownership & storage



MANAGEMENT OF RESEARCH DATA & MATERIAL

- Research data & other records relating to research **MUST** be retained for **at least** the minimum period required by NSW State Records Act, funding agency, publisher guidelines or discipline norms
 - **Whichever is LONGER**

Type	Retention Period
Major Significance, interest or controversy	5 years - permanently
Research with human subjects	5 years - permanently
Long-term environmental effects	5 – 20 years
Without potential long-term effects	5 years
Data which has been copied	5 years





CONFIDENTIALITY

- Confidential material **MUST** be secure
- Heads of School are responsible for maintaining a register of the establishment & ownership of databases containing confidential information within their Schools
- Confidential information **MUST only be used for the purpose for which it was made available**
- Confidentiality agreements to protect intellectual property rights may be agreed between UNSW, the researcher & the sponsor
 - BUT...Be fully aware of any limitation or restriction to publication or discussion





COLLABORATIVE RESEARCH

- Where research collaborations exist outside UNSW
 - An agreement should be put into place covering aspects of
 - Ownership of IP
 - Confidentiality
 - Copyright
 - Sharing of commercial returns
 - Responsibility for ethics
 - Responsibility for research safety
 - Ownership & location of research data & materials
- All Collaborative Research Agreements should have UNSW legal Review and be **signed at the Institutional level**
 - **Researchers cannot enter into their own collaborative research agreements**





CONFLICT OF INTEREST

- All researchers **MUST** avoid Conflicts of Interest
 - Actual
 - Perceived
 - Potential
- All Conflicts of Interest **MUST** be disclosed
- Researchers **MUST NOT** make or attempt to make unlawful profits from their participation in, or knowledge of, research conducted at UNSW





AUTHORSHIP & PUBLICATION

- Minimum criteria for Authorship
 - **MUST** have had a **substantial intellectual contribution** to the paper, where **ONE** of the following are met
 - Conception & design
 - Analysis & interpretation of data
 - Drafting the article or revising it critically so as to contribute to the interpretation
- Acquisition of funding, collection of data, general supervision of the research group, technical assistance, provision of materials **DO NOT** in themselves necessarily justify authorship





AUTHORSHIP & PUBLICATION

- **MUST** ensure that the work of others is appropriately & accurately cited
- No person who is a valid author can be excluded as an author
 - Unless you have their permission in writing
- All those who have contributed to the work (& who are not authors) **MUST** be fully recognised by being named in footnotes or in the Acknowledgements
 - Their specific contribution & role **MUST** be fully acknowledged
 - Individuals & organisations providing access to facilities, reference collections, funding **MUST** be fully acknowledged





AUTHORSHIP & PUBLICATION

- One UNSW co-author should be identified as the UNSW “**executive author**”
- All authors **MUST** complete a Statement of Authorship & Location of Data form **prior to submission**
- The authorship statement **MUST** specify
 - The signatories are the only valid authors
 - The order of authors names is acceptable to all authors
 - All authors have approved the submitted version
 - All authors take responsibility for the content of the output
- If a co-author is not available to complete the Statement, the UNSW “**executive author**” may complete it on their behalf
 - Noting the reason for their unavailability





AUTHORSHIP & PUBLICATION

- The Statement of Authorship & Location of Data Form is available from
 - The Grants Management Office website
 - The Policy Management Unit website
- The Form **MUST** be completed by the Head of School
- The Form **MUST** be lodged with the UNSW Library
 - We are moving this process to a web-based interface





AUTHORSHIP DISPUTES

- In the first instance an attempt to resolve disputes between authors should be made at the local level
- If it cannot be resolved locally, it should be referred to an “**Advisor in Research Integrity**” for mediation
- If an authorship dispute cannot be **mediated by one of the “Advisors in Research Integrity”** it can be brought to the Deputy Vice-Chancellor (Research) for a determination
- The Deputy Vice-Chancellor (Research) will require
 - A copy of the completed Statement of Authorship & Location of Data form (if paper has been submitted)
 - Copies of substantiating documentation to show how each of the authors meet the Authorship Criteria





AUTHORSHIP DISPUTES

- The DVC (Research) may determine the following
 - That one or more individuals **do meet** the authorship criteria
 - They must be included as authors
 - That one or more individuals **do not meet** the authorship criteria
 - They should be removed as authors & their contribution fully acknowledged
 - That the paper simply cannot be published in its present form
 - It may be possible to break the paper down into sections & these could be published separately





PEER REVIEW

- UNSW Researchers in receipt of public funding have a responsibility to participate in the peer review process
 - Peer review **MUST** be conducted in an ethical, confidential & timely manner
 - Peer review should **NOT** be conducted where there is a conflict of interest
 - Peer review should **NOT** be conducted outside the researchers' area of expertise
 - Researchers should **NOT** seek to influence the outcomes of the peer review process





BREACHES OF THE CODE & RESEARCH MISCONDUCT

- Two types of non-compliance with the Research Code
- Breach of the Research Code
 - **Misappropriation** including plagiarism, breach of confidentiality, omit reference to the work of others
 - **Interference** including taking or damaging research-related property
 - **Misrepresentation** including falsification, omission of facts
 - **Deviation** from approved protocols – animal & human
 - Other practices that differ from the accepted practices of the discipline for proposing, conducting & reporting research





BREACHES OF THE CODE & RESEARCH MISCONDUCT

○ Research Misconduct

- Breach of the Research Code of Conduct; **AND**
- The Breach is
 - **Intentional**, or
 - **Deliberate**, or
 - Involves **gross & persistent negligence**; **AND**
- There are serious consequences, such as
 - False information on the public record
 - Adverse effects on research participants





RESEARCH MISCONDUCT

- “Our finding suggest that US scientists engage in a range of behaviours extending far beyond falsification, fabrication or plagiarism”
 - Martinson, Anderson & de Vries *Nature* **2005** 435:737-738

3,247 NIH-funded US researchers

<1.4%	Falsification, Fabrication, Plagiarism
4.7%	Same data or results in two or more publications
10.0%	Inappropriate assigning of authorship
15.3%	Dropping observations or data points from analyses on “gut feeling”
15.5%	Changing the design, methodology or results of a study in response to pressure from a funding source
27.5%	Inadequate record keeping related to research projects





BREACHES OF THE UNSW RESEARCH CODE OF CONDUCT

- **Research Misconduct** may also occur if there is a
 - Continuous or repeated Breach of the Research Code of Conduct
 - Failure to declare or manage a serious conflict of interest
 - Willful concealment or facilitation of research misconduct by others
- Honest differences in judgment or genuine errors that are minor & made unintentionally **DO NOT** constitute research misconduct





DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

- When **research misconduct** is suspected or alleged
 - Make sure that the allegation is not based on “frustration”
 - Talk to your supervisor
 - If you cannot discuss the matter with them, &/or need advice on the process for making an allegation contact
 - An “**Advisor in Research Integrity**”
 - Office of the Deputy Vice-Chancellor (Research)
 - Any formal allegation of research misconduct must be made **in writing** to the Deputy Vice-Chancellor (Research)
 - The Deputy Vice-Chancellor (Research) will conduct a **preliminary investigation**
 - Establish whether a *prima facie* case exists, warranting further investigation





DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

○ Preliminary Investigation

- The DVC (Research) may obtain
 - Confidential advice from internal and/or external independent experts
 - Relevant evidence from the complainant
 - Relevant evidence from the person against whom the allegation has been made
 - Experimental material
 - Names of witnesses
 - IT records
 - Other documents
- Failure to provide the requested information may be considered a breach of the **UNSW Code of Conduct**





DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

○ Preliminary Investigation

- The DVC (Research) may form the following views
 - **No substance** to the allegation
 - *Prima facie* case of **Breach of the Code**
 - *Prima facie* case of **Research Misconduct**
- The DVC (Research) will report the findings to
 - The person who made the allegation
 - The person against whom the allegation was made
 - The relevant Dean or Head of School





DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

- Where there is a *Prima facie* Breach of the Code
 - The DVC (Research) may Refer the matter to
 - The relevant Dean
 - Advisor on Research Integrity, or
 - Head of School
 - For action as recommended by the DVC (Research)
 - This may include action under the disciplinary provision of the Enterprise Agreement





DEALING WITH ALLEGATIONS OF RESEARCH MISCONDUCT

- Where there is a *prima facie* case of Research Misconduct
 - The DVC (Research) will
 - Refer the matter to the DVC (Academic) for action as recommended
 - A Formal Research Misconduct inquiry may result
 - internal or external persons & a panel or single member
 - This may result in action under the disciplinary provision of the Enterprise Agreement

- All parties are protected during the process & confidentiality is maintained





ADVISORS IN RESEARCH INTEGRITY

- Advisors in Research Integrity **MUST** be
 - Committed to high standards of professional conduct
 - Familiar with the relevant Codes & Procedures relating to Research Integrity for their discipline
 - Available to offer confidential advice & clarification on matters related to the new Research Code of Conduct
 - First point of contact for mediating authorship disputes
 - Immediately refer any allegation of Research Misconduct to the DVC (Research)

Laura Poole-Warren <i>(Engineering)</i>	Mark Hoffman <i>(Science)</i>	Joseph Lai <i>(ADFA)</i>
John Piggott <i>(ASB)</i>	Paul Patton <i>(FASS)</i>	Jill Bennett <i>(COFA)</i>
Denis Wakefield <i>(Medicine)</i>	Kathy Bowrey <i>(Law)</i>	Martin Loosemore <i>(FBE)</i>





HEADS OF SCHOOLS/CENTRE DIRECTORS

- Heads of Schools & Centre Directors **MUST**
 - Ensure that new staff & researchers are aware of their responsibilities under the Research Code of Conduct
 - Be committed to high standards of professional conduct
 - Maintain a register of where research data & materials are located
 - Maintain a register of the establishment & ownership of databases containing confidential information created within their School/Centre
 - Sign the Statement of Authorship & Location of Data forms in a timely manner
 - Immediately refer any allegation of Research Misconduct to the DVC (Research)





SUPERVISORS

- UNSW Supervisors **MUST**
 - Ensure that new staff & students are aware of their responsibilities under the Research Code of Conduct
 - Be committed to high standards of professional conduct
 - Teach research students & early career researchers in the responsible conduct of research
 - Provide guidance in good research practice
 - Be satisfied that the research methods & outcomes of research trainees are appropriate & valid
 - Ensure the integrity & validity of research data obtained by research trainees
 - Immediately refer any allegation of Research Misconduct to the DVC (Research)





FURTHER INFORMATION

- Policy Management Unit Website
 - UNSW Research Code of Conduct
 - Procedures for Authorship & Location of Data
 - Procedures for Handling Research Material & Data
 - Statement of Authorship & Location of Data Form
 - Procedures for Handling Allegations of Research Misconduct
 - Other research related Policies and Procedures
- Office of the Deputy Vice-Chancellor (Research)

