# RESEARCH CODE OF CONDUCT

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| **Responsible Officer** | Senior Deputy Vice-Chancellor and Vice- President |
| **Contact Officer** | Manager, Research Integrity Unit<br>Director, Academic Integrity |
| **Superseded Documents** | Code of Conduct for the Responsible Practice of Research approved by Academic Board 2 March 2004 (AB04/21) |
| **Review** | Deputy Vice-Chancellor (Research)<br>April 2012 |
| **File Number** | 2009/0744 |
| **Associated Documents** | UNSW Code of Conduct<br>Intellectual Property Policy<br>Policy on Paid Outside Work by Academic Staff<br>UNSW Delegations of Authority<br>Conflict of Interest Policy<br>Insider Trading Policy<br>Procedure for Handling Allegations of Research Misconduct<br>Procedure for Authorship and for Resolving Disputes Between Authors<br>Procedure for Handling Research Material and Data<br>Statement of Authorship and Location of Data Form<br>Australian Code for the Responsible Conduct of Research |

| Version | Authorisation | Approval Date | Effective Date |
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| 1.1 | Administrative update by Acting Head of Governance | 18 February 2016 | 29 February 2016 |

## CONTENTS


1. DEFINITIONS ..... 1
2. INTRODUCTION ..... 2
3. GENERAL PRINCIPLES ..... 2
4. APPLICATION OF THIS CODE ..... 2
5. ADVISORS ON RESEARCH INTEGRITY ..... 2
6. RESEARCH ETHICS ..... 2
7. PERMITS AND OTHER APPROVALS ..... 3
8. MANAGEMENT OF RESEARCH MATERIAL AND DATA ..... 3
9. PRIVACY AND CONFIDENTIALITY ..... 3
10. PUBLICATION ..... 4
11. AUTHORSHIP ..... 4
12. PEER REVIEW ..... 5
13. SUPERVISION OF STUDENTS / RESEARCH TRAINEES ..... 6
14. DISCLOSURE OF CONFLICTS OF INTEREST/INSIDER TRADING ..... 6
15. COLLABORATIVE RESEARCH WITH OTHER ORGANISATIONS ..... 6
16. BREACHES OF THE CODE AND RESEARCH MISCONDUCT ..... 6


## 1. DEFINITIONS

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| 1.1. | Research | "original investigation undertaken to gain knowledge, understanding and insight."[1] |
| 1.2. | Research Trainee | Higher Degree Research student (PhD or Masters by Research) or early career researcher (postdoctoral research fellow or within 5 years of obtaining PhD). |
| 1.3. | Researcher | All UNSW staff, conjoint appointments, and visiting appointments undertaking research at UNSW, including staff classified as "professional and technical" and casual staff undertaking research. |

[1] Australian Code for the Responsible Conduct of Research, page 1

## 2. INTRODUCTION

2.1. Researchers must conduct their activities in an ethical and professional manner, ensuring validity and accuracy in the collection and reporting of data.

2.2. UNSW has developed this ***Research Code of Conduct*** to meet the standards set out in the ***Australian Code for the Responsible Conduct of Research***[2].

2.3. No part of this Code is a substitute for personal responsibility.

## 3. GENERAL PRINCIPLES

3.1. The purpose of research is the creation and dissemination of new knowledge and emphasises the importance of transparency and due process to allow claims and findings to be tested by others.

3.2. UNSW researchers are expected to be committed to high standards of professional conduct in accord with the accepted practice of their disciplines, codes of relevant external funding bodies and legislative requirements.

3.3. Supervisors and mentors are expected to provide research students/trainees with the current requirements for the responsible conduct of research and provide guidance in good research practice.

3.4. Research findings should not be reported in the public media before they have been reported to a research audience of experts in the field of research — preferably by publication in a peer-reviewed journal.

3.5. This Code is part of the UNSW research governance framework and should be read with other relevant UNSW policies, procedures and guidelines including on the maintenance of records, retention of data, publication and authorship, management of intellectual property, research training, occupational health and safety, confidentiality and managing conflict of interest.

## 4. APPLICATION OF THIS CODE

4.1. This Code applies to all researchers of UNSW, including visiting and conjoint appointees.

4.2. Where a researcher is uncertain about the application of this Code, advice should be sought from the relevant Faculty Associate Dean (Research). Such advice will be provided on a confidential basis.

4.3. Where a research trainee is uncertain about the application of this Code, advice should be sought from their Supervisor, the Faculty Associate Dean (Research), postgraduate supervisor or from the Dean of Graduate Research.

## 5. ADVISORS ON RESEARCH INTEGRITY

5.1. The Senior Deputy Vice-Chancellor will appoint an Advisor on Research Integrity in each Faculty. This will normally be the Associate Dean (Research).

5.2. Advisors on Research Integrity will be available to offer advice and clarification on matters related to this Code.

## 6. RESEARCH ETHICS

6.1. Researchers must comply with all ethical requirements in conducting research at UNSW.

6.2. Where research procedures involve humans or animals as research subjects, approval must be sought from the appropriate ***Human Research Ethics Committee*** (or Human Research Advisory Panel) or the ***Animal Care and Ethics Committee***. The design and conduct of projects must take account of:

6.2.1. the ***National Statement on Ethical Conduct in Research involving Humans***;

[2] See http://www.nhmrc.gov.au/publications/synopses/r39syn.htm

6.2.2. the ***Rules Governing Human Research Projects at the University of New South Wales***; and

6.2.3. the ***Australian Code of Practice for the Care and Use of Animals for Scientific Purposes***.

6.3. Research involving Aboriginal and Torres Strait Islander peoples must only be conducted in accordance with ***Values and Ethics: Guidelines for Ethical Conduct in Aboriginal and Torres Strait Islander Health Research*** and the ***Guidelines for Ethical Research in Indigenous Studies***.

6.4. Community participation in research is encouraged and facilitated by UNSW and must be conducted in accordance with the ***Statement on Consumer and Community Participation in Health and Medical Research***.

## 7. PERMITS AND OTHER APPROVALS

7.1. Some types of research can only be conducted subject to specific conditions such as approvals, permits and licences from external bodies for example research conducted in National Parks, waterways, and in indigenous communities. Researchers must ensure that thay make themselves aware of these requirements and comply with them in conducting the research.

## 8. MANAGEMENT OF RESEARCH MATERIAL AND DATA

8.1. Researchers are expected to comply with the ***UNSW Procedure for Handling Research Material and Data***:

8.1.1. Data underpinning research conducted at UNSW (including electronic data) must be recorded in a protected, durable and appropriately referenced form.

8.1.2. Researchers must maintain a catalogue of all research data in an accessible form.

8.1.3. Research data and other records relating to research must be retained for at least the minimum periods required by the ***NSW State Records Act***, funding agency or publisher guidelines or in accordance with discipline norms, whichever is the longer period.

8.2. Research Material and data related to publications must be available for discussion with other researchers (unless confidentiality provisions apply).

8.3. Research data and materials remain the property of UNSW, unless subject to a third party agreement.

## 9. PRIVACY AND CONFIDENTIALITY

9.1. Researchers are responsible for ensuring appropriate security for any confidential material in accordance with the ***UNSW Privacy Management Plan*** which complies with the ***NSW Privacy and Personal Protection Act 1998*** (http://www.privacy.unsw.edu.au/).

9.2. Confidential information must only be used for the purpose for which it was made available.

9.3. Researchers must maintain the confidentiality of any information to which they have been given access to on a confidential basis. This includes ensuring secure storage for confidential information.

9.4. Confidentiality agreements to protect intellectual property rights may be agreed between UNSW, the researcher and a sponsor of the research. Where such agreements limit free publication and discussion, limitations and restrictions must be agreed explicitly.

## 10. PUBLICATION

10.1. Where research that has not yet been subjected to peer review is privately reported, researchers must disclose fully the unpublished status of the work and the peer-review mechanisms to which it will be subjected.

10.2. Publications must include information on the sources of financial support for the research. This must include recognition of the support of the University in cases where a byline is not included. Financial sponsorship that carries an embargo on the naming of the sponsor should be avoided.

10.3. Researchers must describe accurately the state of publication (in preparation, submitted, under review, accepted for publication, in press), research funding (applied for, granted, funding period), and awards conferred.

10.4. Researchers must not deliberately include inaccurate or misleading information relating to research activity in curriculum vitae, grant applications, job applications or public statements.

10.5. Researchers must ensure that published reports, statistics and public statements about research activities and performance are complete, accurate and unambiguous.

10.5.1. In the event that a researcher becomes aware of unintentional misleading or inaccurate statements about their work, they must correct the record as soon as possible.

10.6. The publication of research findings must be complete, and where appropriate include any negative findings and results which may be contrary to the hypothesis and/or conclusion.

10.7. Publication of multiple full papers drawing the same conclusions from the same set of research findings is not acceptable, except where there is full cross-referencing within the papers (for example, in a series of closely related works, a review article, or where a complete work grew out of a preliminary publication, such as an abstract or conference presentation, and this is fully acknowledged).

10.8. Publication of the same material translated into different languages is acceptable provided that the original source is fully acknowledged. Re-publication of control data (rather than performing new control experiments) is not acceptable unless a full justification is provided to and approved by the journal Editor.

10.9. An author who submits substantially similar work to more than one publisher must disclose this to the publishers at the time of submission.

10.10. UNSW and sponsors involved in any collaborative research reported must be acknowledged and fully disclosed, unless there are any restrictions on communications which may have been agreed with the sponsor.

## 11. AUTHORSHIP

11.1. Researchers are expected to comply with ***Procedure for Authorship and for Resolving Disputes Between Authors***.

11.2. Criteria for Authorship

11.2.1. The minimum requirement for authorship is that an author must have had a substantial intellectual contribution to the paper, where one of the following conditions are met:

a) conception and design; and/or

b) analysis and interpretation of data; and/or

c) drafting the article or revising it critically so as to contribute to the interpretation.

11.2.2. Acquisition of funding, the collection of data, general supervision of the research group, provision of technical assistance or materials by themselves, do not justify authorship.

11.2.3. UNSW acknowledges that the criteria for authorship (including the order of authors), of research output vary depending on the currently accepted practice in the research discipline.

11.2.4. No person who is an author, consistent with the criteria for authorship, may be excluded as an author without their permission in writing. Similarly, no person who has contributed to the acquisition of funding, or the collection of research data, can be intentionally excluded from its analysis or interpretation for the purpose of authorship.

11.2.5. All others who contributed to the work and who are not authors, must be recognised by being named in footnotes or in the Acknowledgments section, and their specific contribution and role in the work must be fully acknowledged. Individuals and organisations providing access to facilities, samples or reference collections must be fully acknowledged. If individuals are acknowledged, their approval must be sought in writing.

11.2.6. Researchers must ensure that they appropriately and accurately cite the relevant work of others.

11.3. Declaration of authorship

11.3.1. All authors of all types of publication (including web-based publication) must sign a ***Statement of Authorship and Location of Data Form*** prior to its submission. All authors must have final approval of the version to be published. The signed Statement of Authorship must specify that the signatories are the only valid authors and that there are no other authors.

11.3.2. If, for any reason, one or more co-authors are unavailable or otherwise unable to sign the Statement of Authorship, the executive author may sign on their behalf, noting the reason for their unavailability. Confirmation should be obtained from absentee authors within six months of the publication being submitted.

11.4. Authorship Disputes

11.4.1. Disputes concerning Authorship will be dealt with in accordance with the ***Procedure for Authorship and for Resolving Disputes Between Authors***.

11.4.2. A dispute between authors does not constitute an allegation of research misconduct, unless it is alleged that there has been a serious and intentional breach of this Code.

## 12. PEER REVIEW

12.1. Peer review is the "impartial and independent assessment of research by others working in the same or a related field".[3] UNSW encourages researchers to participate in peer review to provide public credibility to the reporting of research.

12.2. UNSW researchers in receipt of public funding have a responsibility to participate in the peer review process.

12.3. UNSW researchers who are asked to participate in peer review should do so in an ethical, confidential and timely manner. Researchers should not agree to peer review any research for which they have a conflict of interest, or where the research is outside the area of expertise.

12.4. UNSW researchers whose research is being peer reviewed must not seek to influence the outcomes or process.

[3] Australian Code for the Responsible Conduct of Research, Chapter 6, page 6.1

## 13. SUPERVISION OF STUDENTS / RESEARCH TRAINEES

13.1. Researchers must comply with ***UNSW Policy on Higher Degree Research Supervision***.

13.2. Supervisors must be satisfied that the research methods and outcomes of researchers under their supervision are appropriate and valid. Supervisors must also ensure that research trainees are appropriately acknowledged for their work.

13.3. The supervisor must ensure the validity of research data obtained by a student / research trainee under his / her supervision.

## 14. DISCLOSURE OF CONFLICTS OF INTEREST/INSIDER TRADING

14.1. All UNSW researchers have an obligation to avoid actual, potential and perceived conflicts of interest.

14.2. Researchers are required to comply with ***UNSW Conflict of Interest Policy***.

14.3. Disclosure of conflicts of interest must be made to editors of journals, to the readers of published work, and to external bodies from which funds are sought.

14.4. Researchers have an obligation to disclose, at the time of reporting or proposing research (for example, in a grant application), any conflict of interest which has the potential to influence research and investigations, publication and media reports, grant applications, applications for appointment and promotion, or research commercialisation.

14.5. Researchers must not make, or attempt to make, unlawful profits from their participation in, or knowledge of, research conducted at UNSW and must comply with ***UNSW Insider Trading Policy***.

## 15. COLLABORATIVE RESEARCH WITH OTHER ORGANISATIONS

15.1. UNSW supports collaborative research within UNSW, nationally and internationally.

15.2. Where research collaboration exists, an agreement should be put into place covering ownership of intellectual property, confidentiality and copyright, sharing of commercial returns, responsibility for ethics and research safety, ownership and location of research data and materials.

## 16. BREACHES OF THE CODE AND RESEARCH MISCONDUCT

16.1. Failure to comply with this Code may be grounds for disciplinary action.

16.2. Any allegation of non-compliance with the Code will be dealt with in accordance with the ***Procedure for the Handling of Allegations of Research Misconduct***.

16.3. Research misconduct does not include genuine errors or differences in interpretation or judgments of data.

16.4. Persons considering making an allegation should read the ***Procedure for the Handling of Allegations of Research Misconduct*** and consult an Advisor on Research Integrity in the first instance.

## Appendix A: History

| Version | Authorised by | Approval Date | Effective Date | Sections modified |
|---|---|---|---|---|
| 1.0 | UNSW Council, (CL09/19) | 27 April 2009 | 27 April 2009 | |
| 1.1 | Administrative update by Acting Head of Governance | 18 February 2016 | 29 February 2016 | Update to Contact and responsible Officers |